DOCTOT-26828560

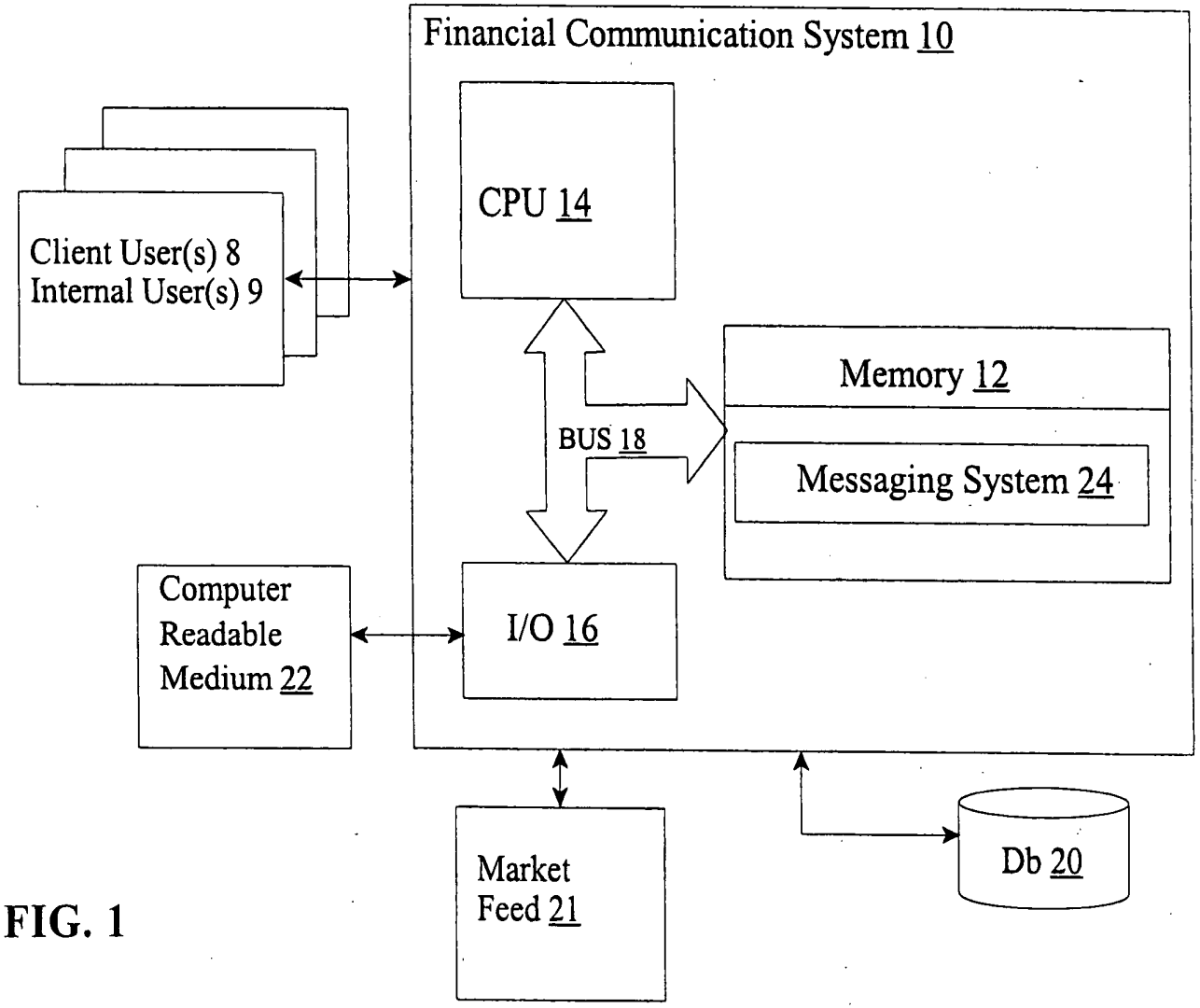


FIG. 1

DETOT: 26826960

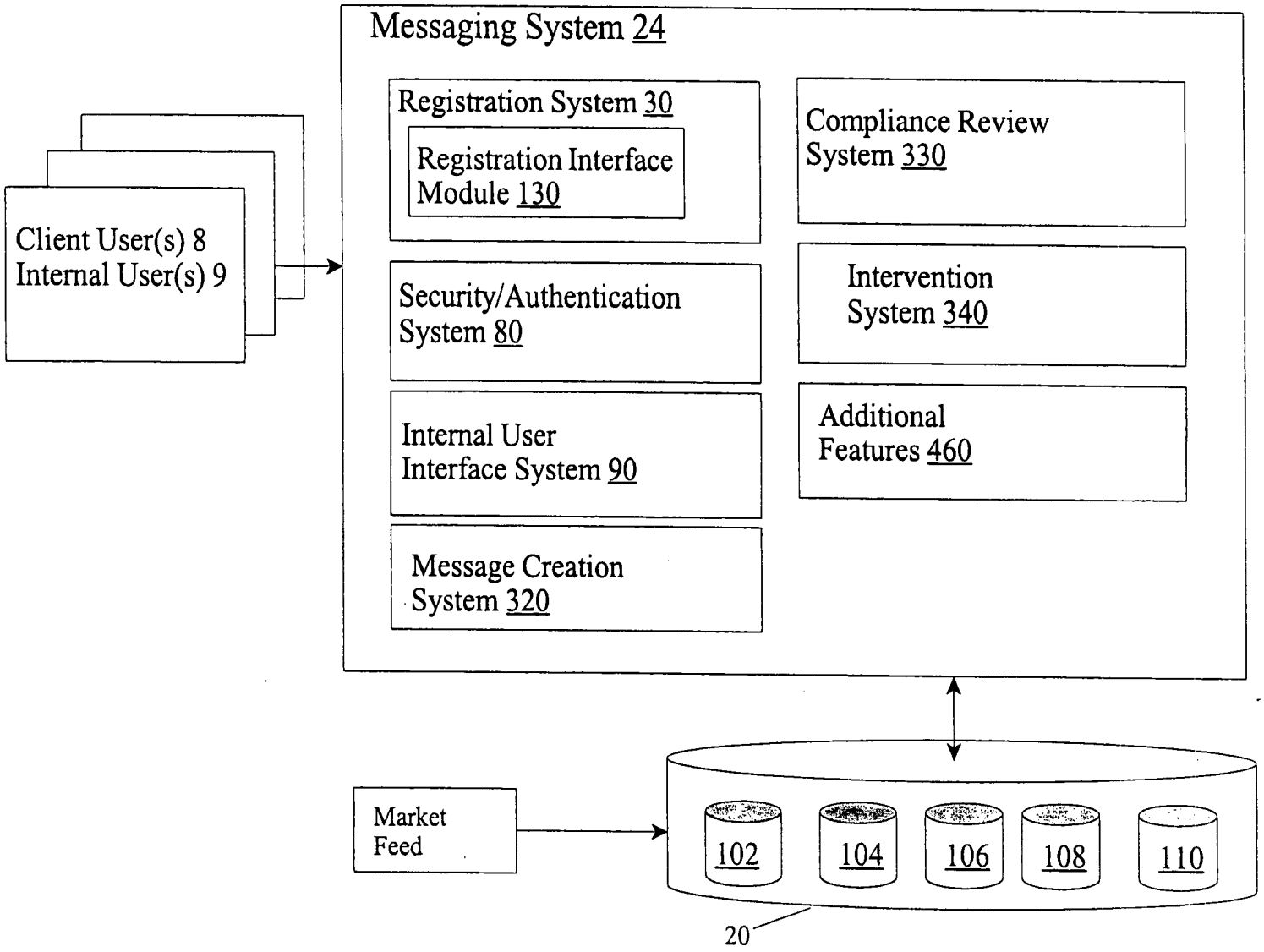


FIG. 2

DOCKET: 2682960

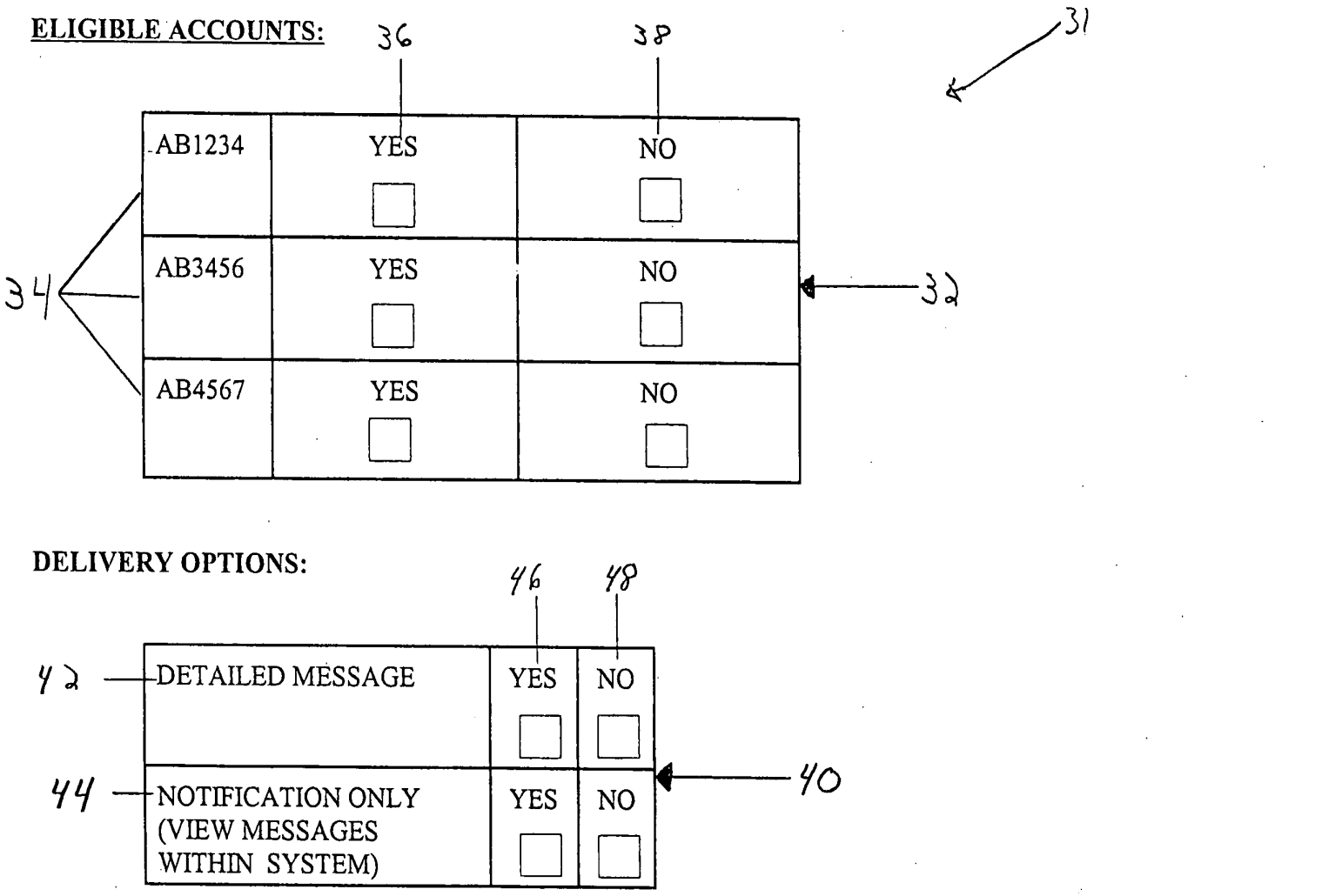


FIG. 3

Messages:

	Yes (68)	No (70)
1) On-line Trading Order Status (Any status change to your on-line orders) (54)	☐	☐
2) Research Reevaluation (Any securities in your portfolio that have received new ratings from the PaineWebber's Equity Research Department) (56)	☐	☐
3) Expiring Options (Any options in your portfolio due to expire) (58)	☐	☐
4) Maturing Bonds (Any bonds in your portfolio due to mature) (60)	☐	☐
5) Called Bonds (Any bonds subject to a full or partial call) (62)	☐	☐
6) Research—Highighted Stocks List PaineWebber's *Highlighted Stocks* list presents investors with a choice group of companies from the core investment themes that our Strategy Group identifies. Subscribe here for monthly updates that include core investment themes, the stocks that fit those themes and performance of the List versus the S&P 500. (64)	☐	☐
7) Research—Focus List Recap The Focus List is a list of up to 30 stocks, all rated "Buy" or "Attractive", that are selected by a committee of investment professionals. The Focus List employs a proprietary stop-loss mechanism designed to minimize risk. Subscribe here for updates after the committee's weekly meetings. (66)	☐	☐

FIG. 4

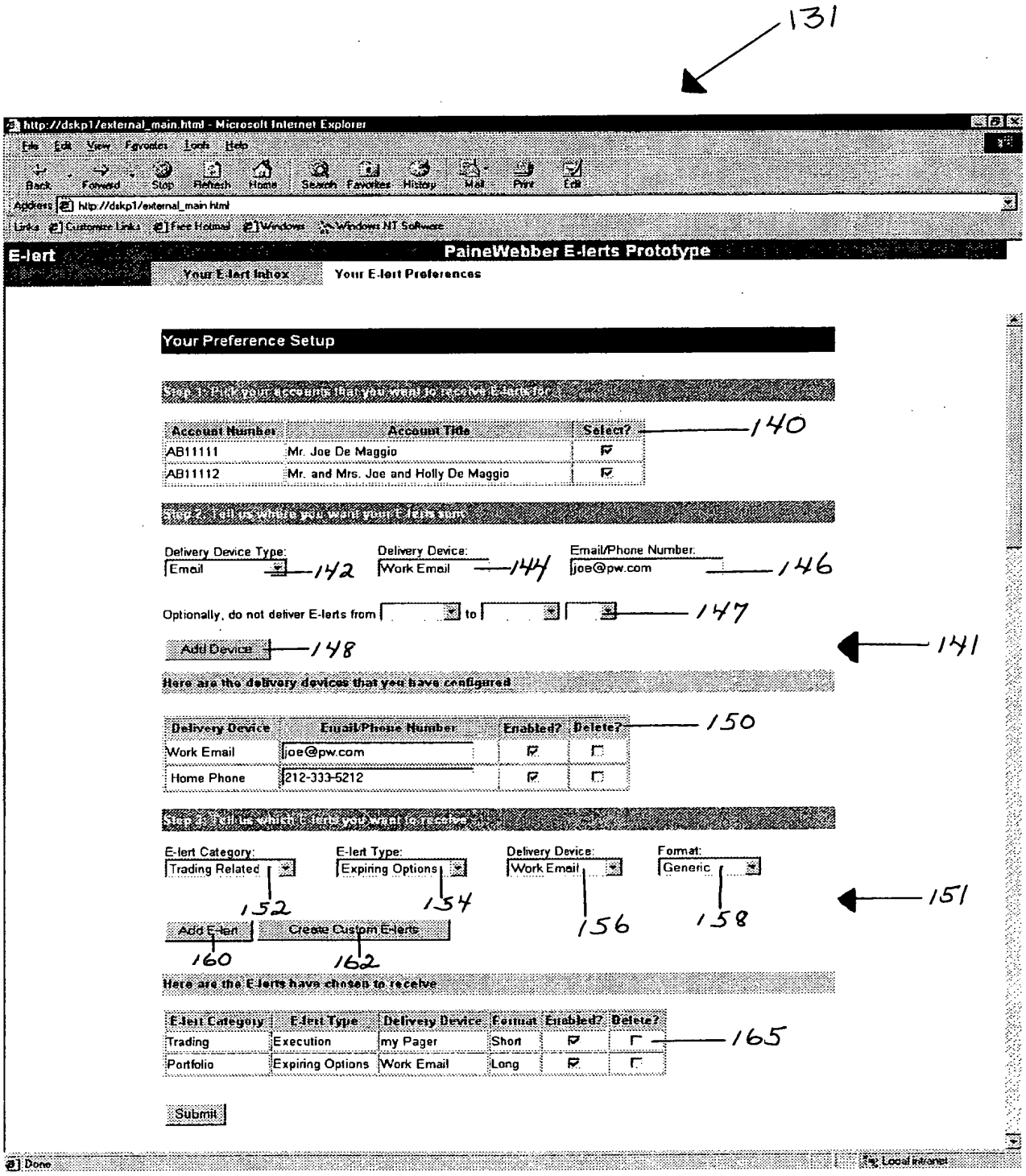

131
http://dskp1/external_main.html - Microsoft Internet Explorer
E-lert
PaineWebber E-lerts Prototype
Your E-lert Inbox
Your E-lert Preferences
Your Preference Setup
Account Number
Account Title
Select?
140
AB11111
Mr. Joe De Maggio
AB11112
Mr. and Mrs. Joe and Holly De Maggio
Delivery Device Type:
Email
142
Delivery Device:
Work Email
144
Email/Phone Number:
joe@pw.com
146
Optionally, do not deliver E-lerts from
to
147
Add Device
148
141
Here are the delivery devices that you have configured
Delivery Device
Email/Phone Number
Enabled?
Delete?
150
Work Email
joe@pw.com
Home Phone
212-333-5212
E-lert Category:
Trading Related
152
E-lert Type:
Expiring Options
154
Delivery Device:
Work Email
156
Format:
Generic
158
151
Add E-lert
160
Create Custom E-lerts
162
Here are the E-lerts have chosen to receive
E-lert Category
E-lert Type
Delivery Device
Format
Enabled?
Delete?
165
Trading
Execution
my Pager
Short
Portfolio
Expiring Options
Work Email
Long
Submit
Done
Local intranet

FIG. 5

08ETOF 26826960

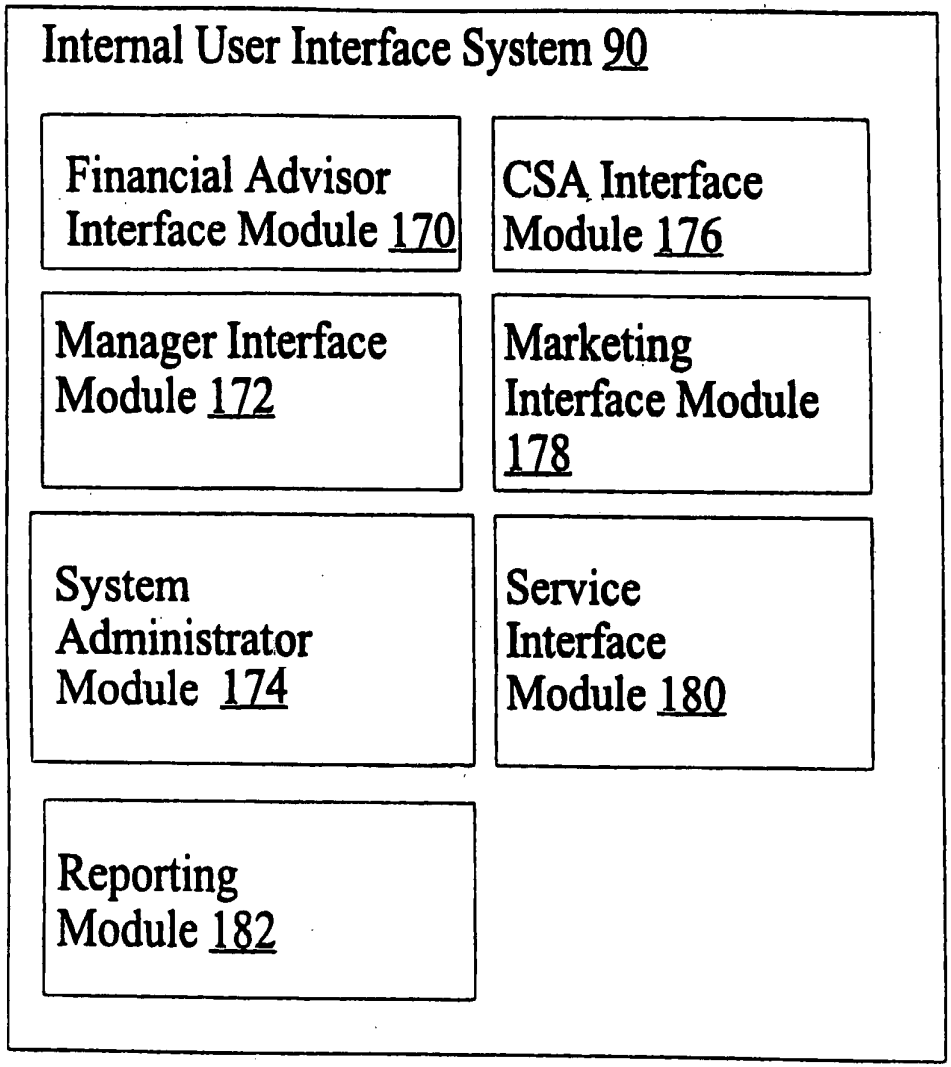


FIG. 6

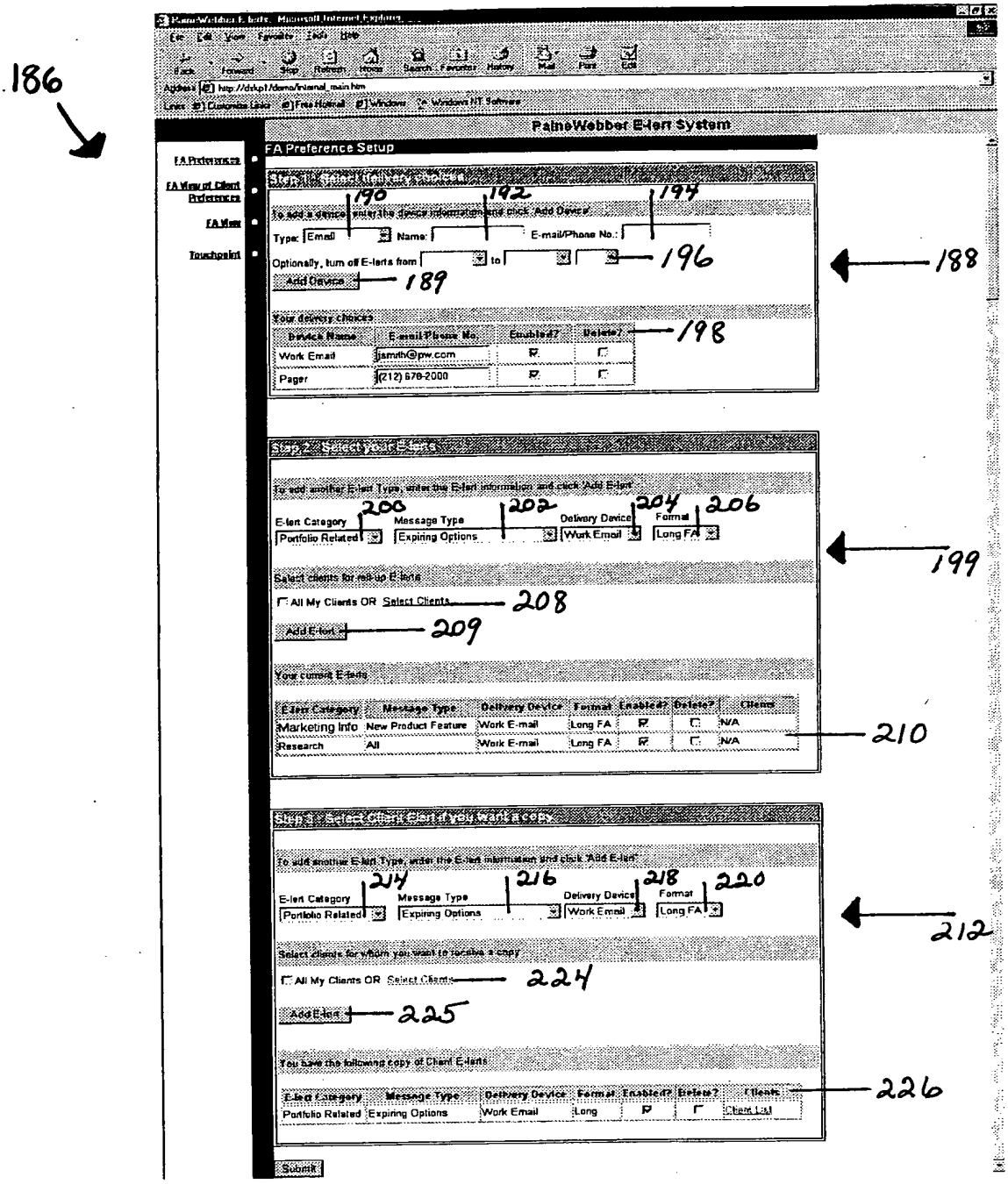

186
PaineWebber E-lert System
FA Preference Setup
FA Preferences
FA View of Client Preferences
FA View
Touchpoint
190
192
194
Type: Email
Name:
E-mail/Phone No.:
Optionally, turn off E-lerts from
to
196
188
Add Device
189
Your delivery choices:
Device Name
E-mail/Phone No.
Enabled?
Delete?
198
Work Email
jsmith@pw.com
Pager
(212) 676-2000
E-lert Category
Message Type
Delivery Device
Format
200
202
204
206
Portfolio Related
Expiring Options
Work Email
Long FA
199
Select clients for roll-up E-lerts
All My Clients OR Select Clients
208
Add E-lert
209
Your current E-lerts
E-lert Category
Message Type
Delivery Device
Format
Enabled?
Delete?
Clients
Marketing Info
New Product Feature
Work E-mail
Long FA
N/A
Research
All
210
214
216
218
220
Portfolio Related
Expiring Options
Work Email
Long FA
212
Select clients for whom you want to receive a copy
All My Clients OR Select Clients
224
Add E-lert
225
You have the following copy of Client E-lerts
E-lert Category
Message Type
Delivery Device
Format
Enabled?
Delete?
Clients
Portfolio Related
Expiring Options
Work Email
Long
Client List
226
Submit

FIG. 7

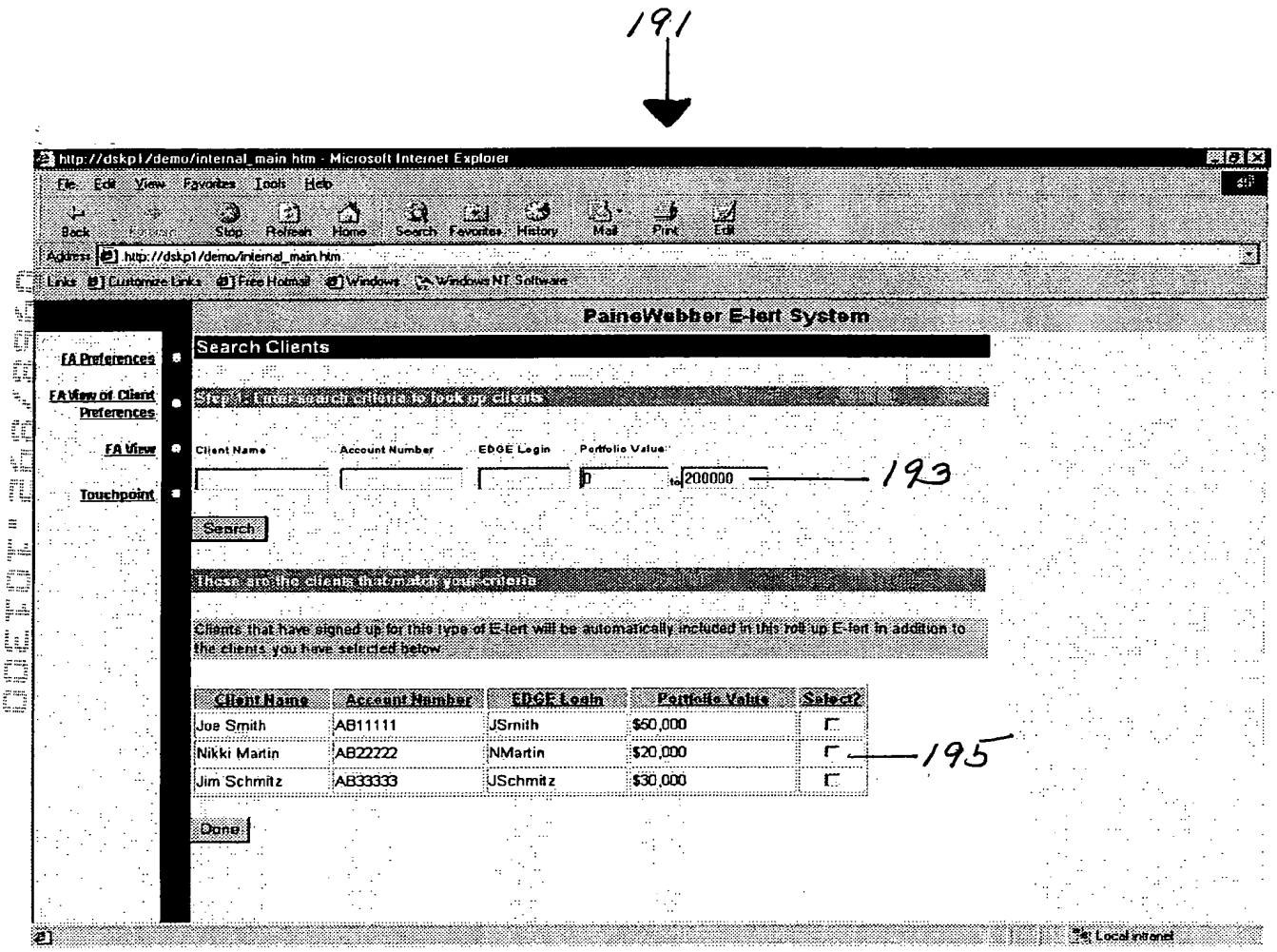

191
http://dskp1/demo/internal_main.htm - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Refresh Home Search Favorites History Mail Print Edit
Address http://dskp1/demo/internal_main.htm
Links Customize Links Free Hotmail Windows Windows NT Software
PaineWebber E-lert System
FA Preferences
FA View of Client Preferences
FA View
Touchpoint
Search Clients
Client Name
Account Number
EDGE Login
Portfolio Value
200000
193
Search
Clients that have signed up for this type of E-lert will be automatically included in this roll up E-lert in addition to the clients you have selected below
Client Name
Account Number
EDGE Login
Portfolio Value
Select?
Joe Smith
AB11111
JSmith
$50,000
Nikki Martin
AB22222
NMartin
$20,000
Jim Schmitz
AB33333
JSchmitz
$30,000
195
Done
Local intranet

FIG. 8

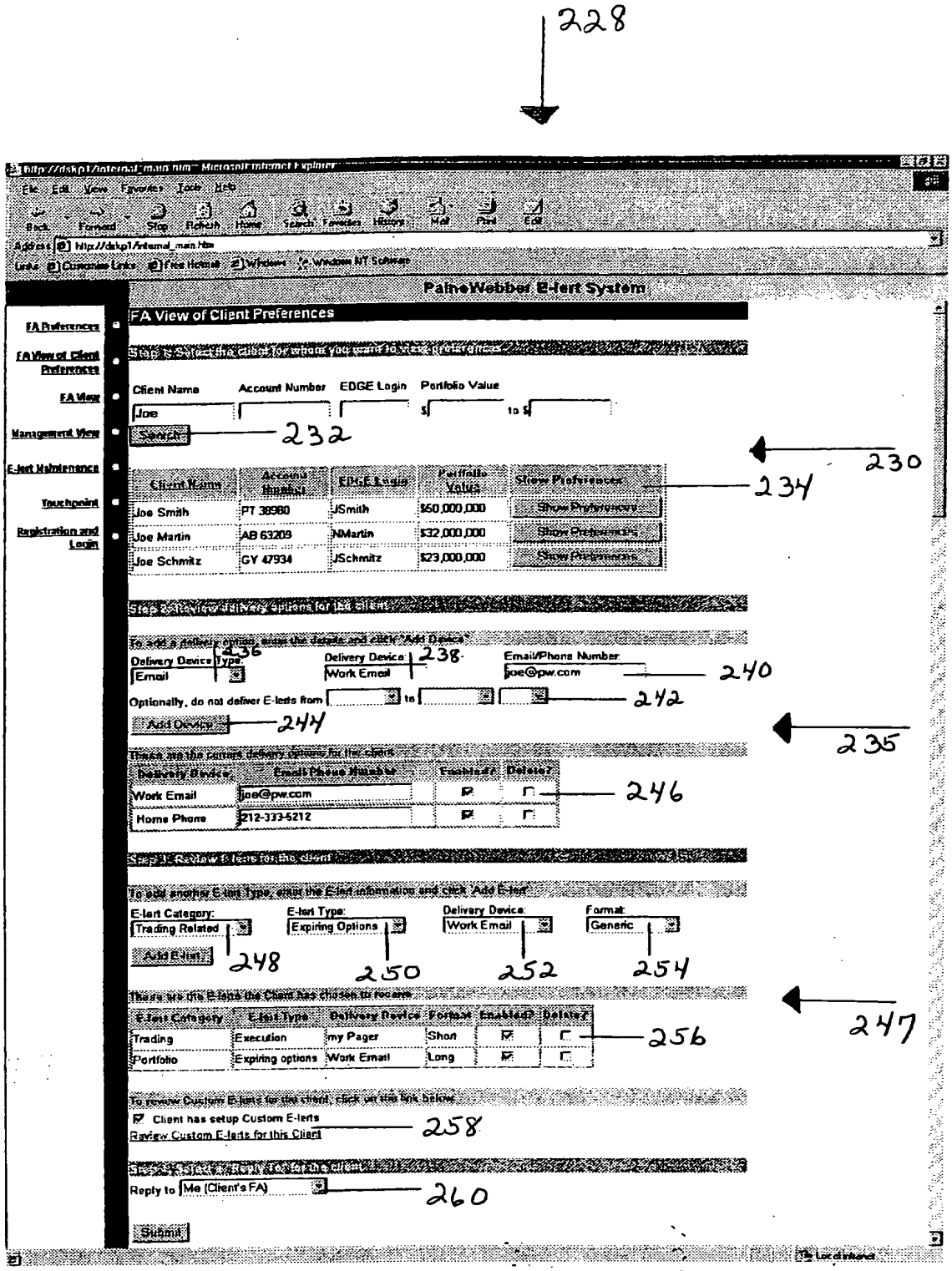

228
PalmWebber E-lert System
FA View of Client Preferences
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Client Name
Account Number
EDGE Login
Portfolio Value
Joe
Search
232
230
234
Client Name
Account Number
EDGE Login
Portfolio Value
Show Preferences
Joe Smith
PT 38980
JSmith
$60,000,000
Joe Martin
AB 63209
NMartin
$32,000,000
Joe Schmitz
GY 47934
JSchmitz
$23,000,000
236
Delivery Device Type:
Email
238
Delivery Device:
Work Email
Email/Phone Number:
joe@pw.com
240
Optionally, do not deliver E-lerts from
to
242
Add Device
244
235
Delivery Device
Email/Phone Number
Enabled?
Delete?
Work Email
joe@pw.com
Home Phone
212-333-5212
246
E-lert Category:
Trading Related
E-lert Type:
Expiring Options
Delivery Device:
Work Email
Format:
Generic
Add E-lert
248
250
252
254
247
E-lert Category
E-lert Type
Delivery Device
Format
Enabled?
Delete?
Trading
Execution
my Pager
Short
Portfolio
Expiring options
Work Email
Long
256
Client has setup Custom E-lerts
Review Custom E-lerts for this Client
258
Reply to
Me (Client's FA)
260
Submit

FIG. 9

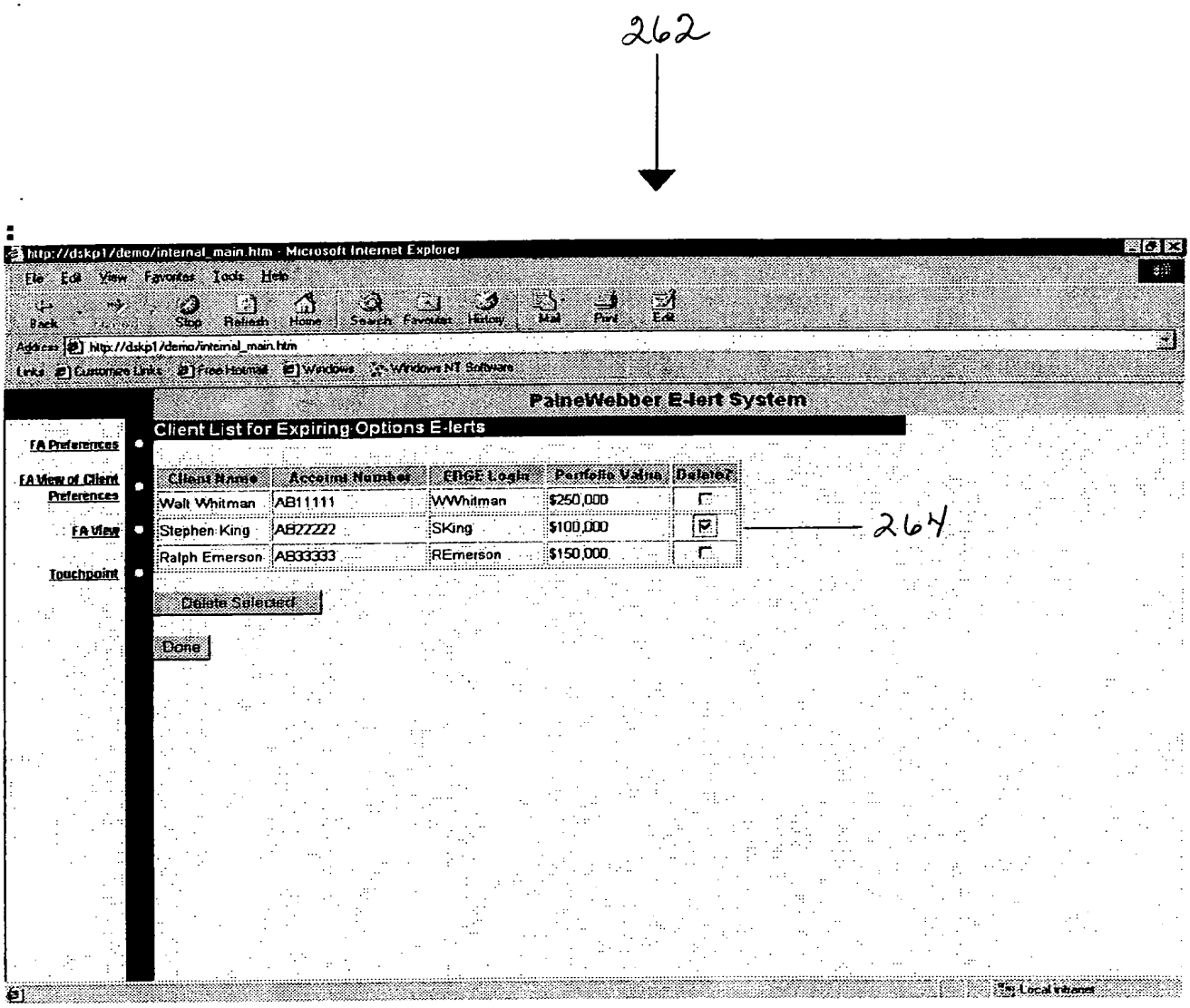

262
http://dskp1/demo/internal_main.htm - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Stop Refresh Home Search Favorites History Mail Print Edit
Address http://dskp1/demo/internal_main.htm
Links Customize Links Free Hotmail Windows Windows NT Software
PaineWebber E-lert System
Client List for Expiring Options E-lerts
FA Preferences
FA View of Client Preferences
FA View
Touchpoint
Client Name | Account Number | EDGE Login | Portfolio Value | Delete?
Walt Whitman | AB11111 | WWhitman | $250,000
Stephen King | AB22222 | SKing | $100,000
Ralph Emerson | AB33333 | REmerson | $150,000
264
Delete Selected
Done
Local intranet

FIG. 10

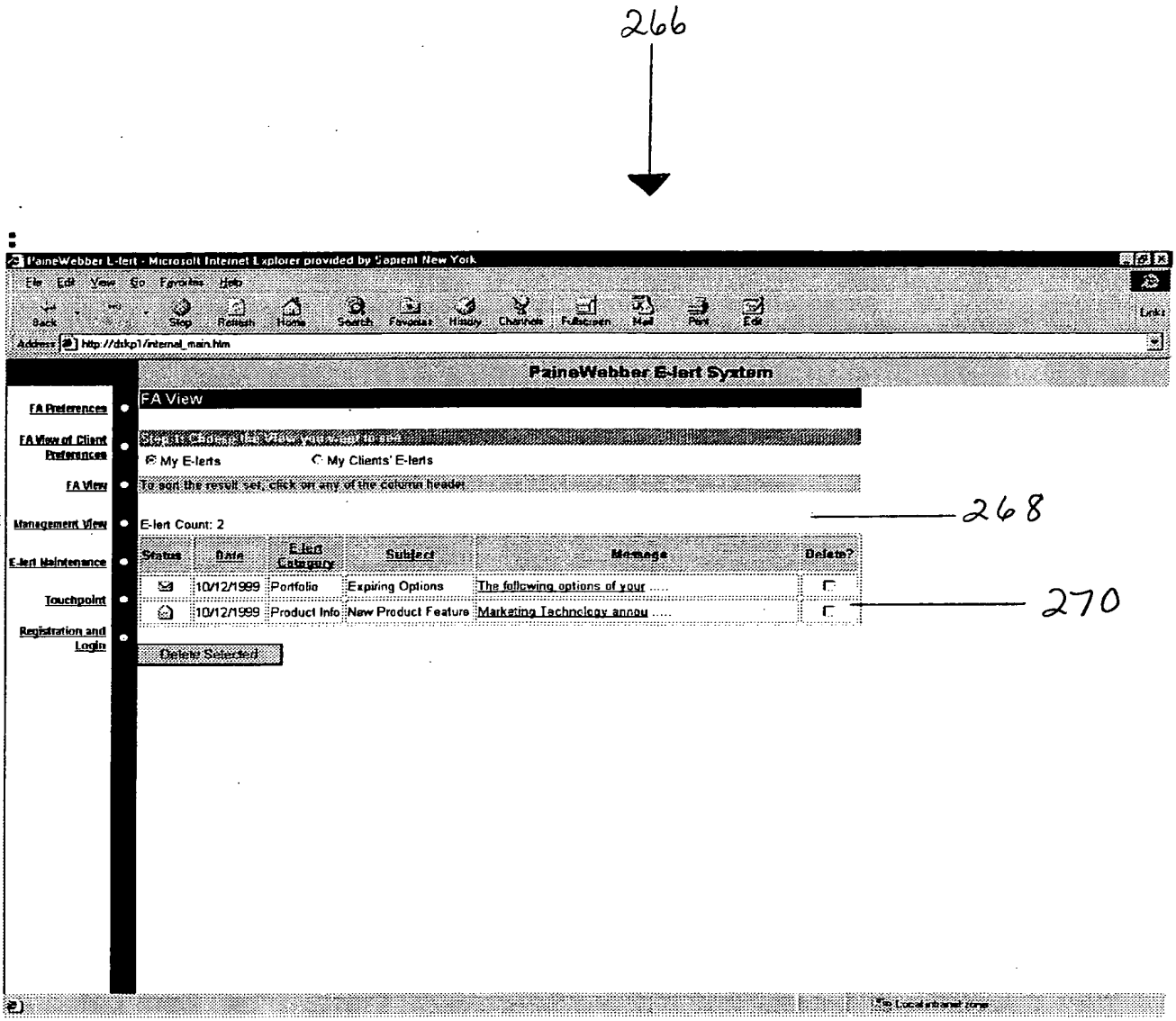

266
PaineWebber E-lert System
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
FA View
My E-lerts
My Clients' E-lerts
To sort the result set, click on any of the column header
E-lert Count: 2
268
Status
Date
E-lert Category
Subject
Message
Delete?
10/12/1999
Portfolio
Expiring Options
The following options of your .....
10/12/1999
Product Info
New Product Feature
Marketing Technology annou .....
270
Delete Selected

FIG. 11

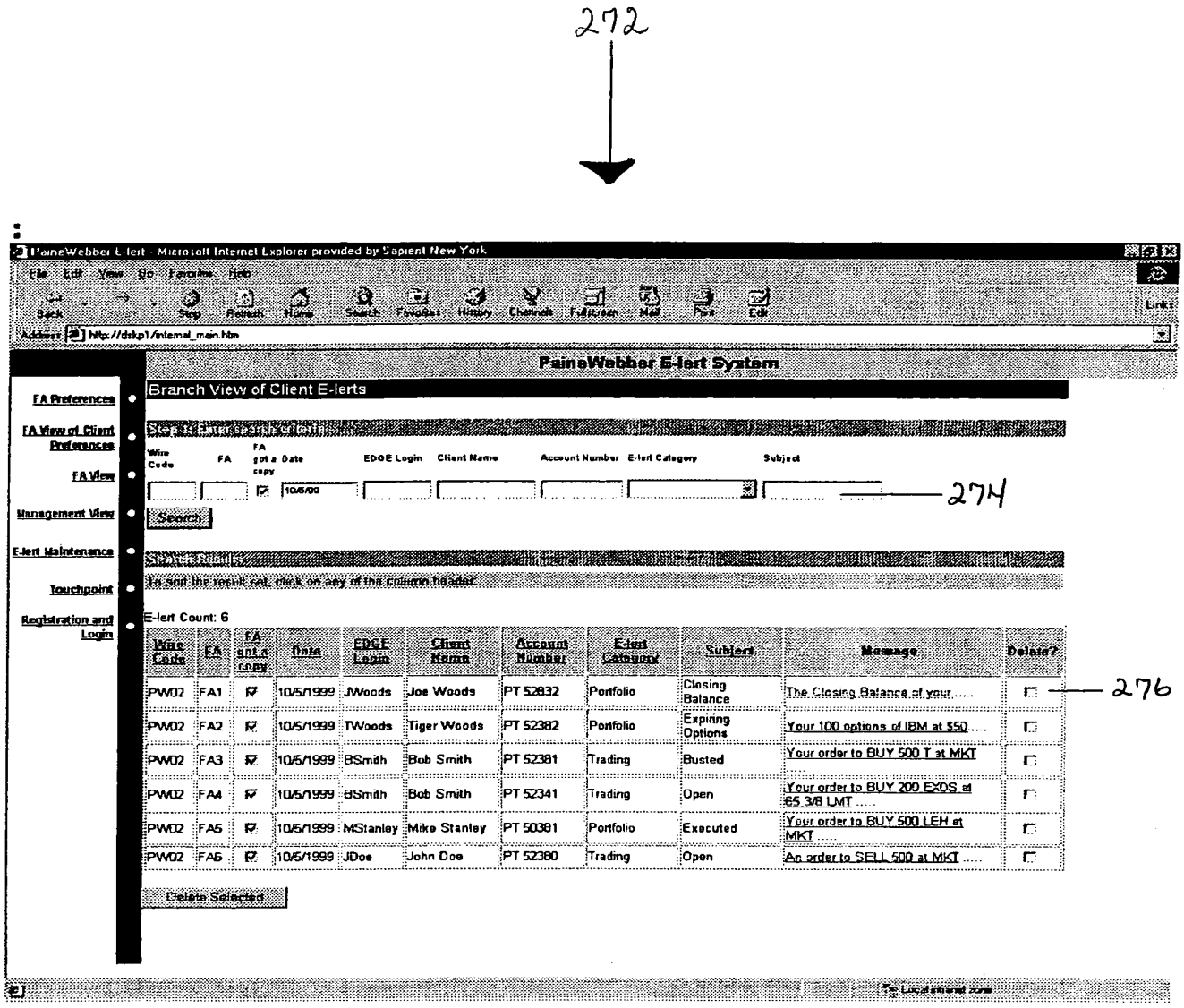

272
PaineWebber E-lert - Microsoft Internet Explorer provided by Sapient New York
File Edit View Go Favorites Help
Back Stop Refresh Home Search Favorites History Channels Fullscreen Mail Print Edit
Links
Address http://dskp1/internal_main.htm
PaineWebber E-lert System
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Branch View of Client E-lerts
Wire Code
FA
FA got a copy
Date
EDGE Login
Client Name
Account Number
E-lert Category
Subject
10/5/99
274
Search
To sort the result set, click on any of the column header
E-lert Count: 6
Wire Code
FA
FA got a copy
Date
EDGE Login
Client Name
Account Number
E-lert Category
Subject
Message
Delete?
PW02 FA1 10/5/1999 JWoods Joe Woods PT 52832 Portfolio Closing Balance The Closing Balance of your..... 276
PW02 FA2 10/5/1999 TWoods Tiger Woods PT 52382 Portfolio Expiring Options Your 100 options of IBM at $50.....
PW02 FA3 10/5/1999 BSmith Bob Smith PT 52381 Trading Busted Your order to BUY 500 T at MKT
PW02 FA4 10/5/1999 BSmith Bob Smith PT 52341 Trading Open Your order to BUY 200 EXDS at 65 3/8 LMT .....
PW02 FA5 10/5/1999 MStanley Mike Stanley PT 50381 Portfolio Executed Your order to BUY 500 LEH at MKT .....
PW02 FA6 10/5/1999 JDoe John Doe PT 52380 Trading Open An order to SELL 500 at MKT .....
Delete Selected

FIG. 12

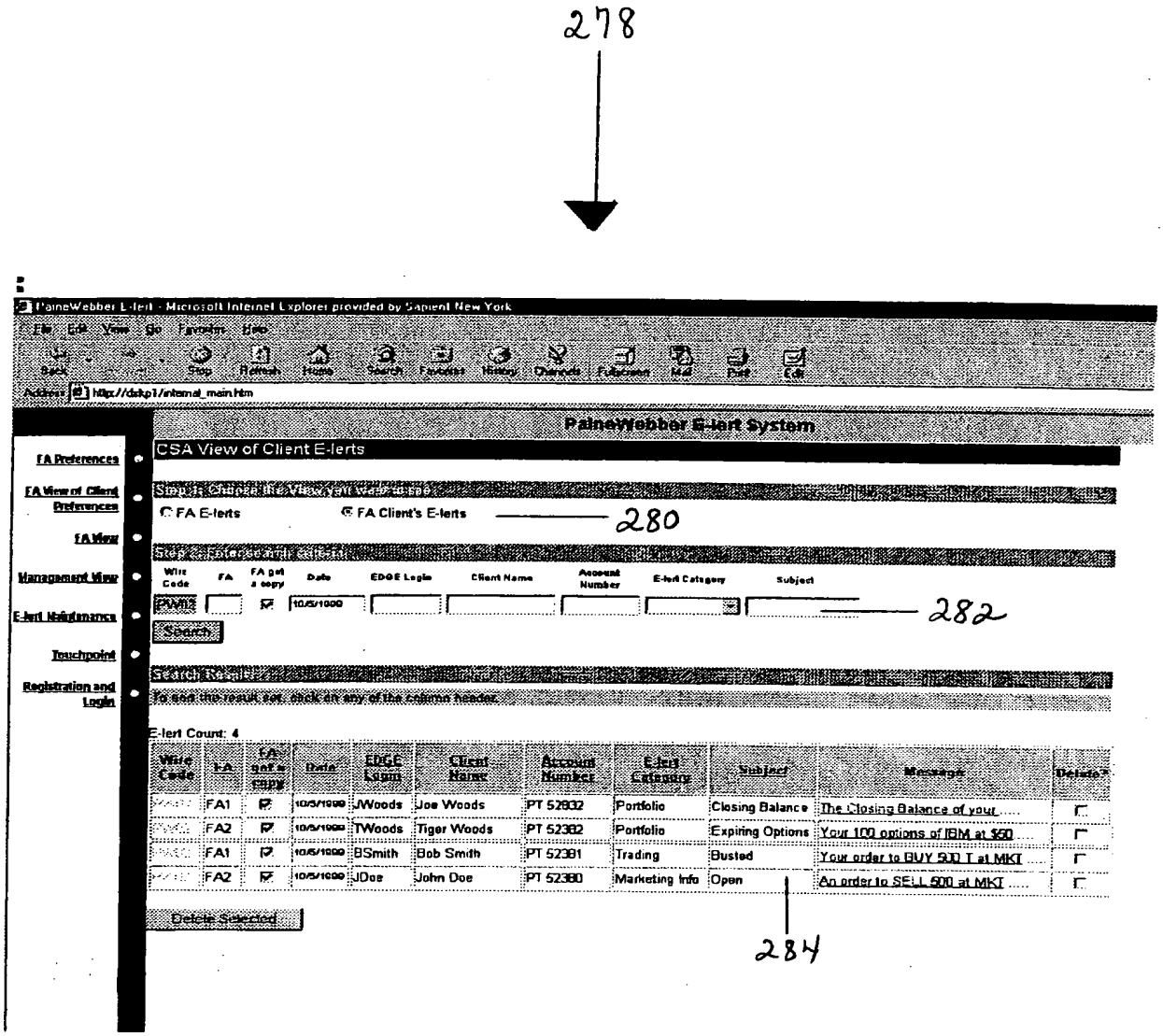

278
PaineWebber E-lert System
CSA View of Client E-lerts
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
FA E-lerts
FA Client's E-lerts
280
Search
282
Wire Code
FA
FA get a copy
Date
EDGE Login
Client Name
Account Number
E-lert Category
Subject
E-lert Count: 4
Message
Delete?
FA1 10/5/1999 JWoods Joe Woods PT 52832 Portfolio Closing Balance The Closing Balance of your ....
FA2 10/5/1999 TWoods Tiger Woods PT 52382 Portfolio Expiring Options Your 100 options of IBM at $60 ....
FA1 10/5/1999 BSmith Bob Smith PT 52381 Trading Busted Your order to BUY 500 T at MKT ....
FA2 10/5/1999 JDoe John Doe PT 52380 Marketing Info Open An order to SELL 500 at MKT ....
Delete Selected
284

FIG. 13

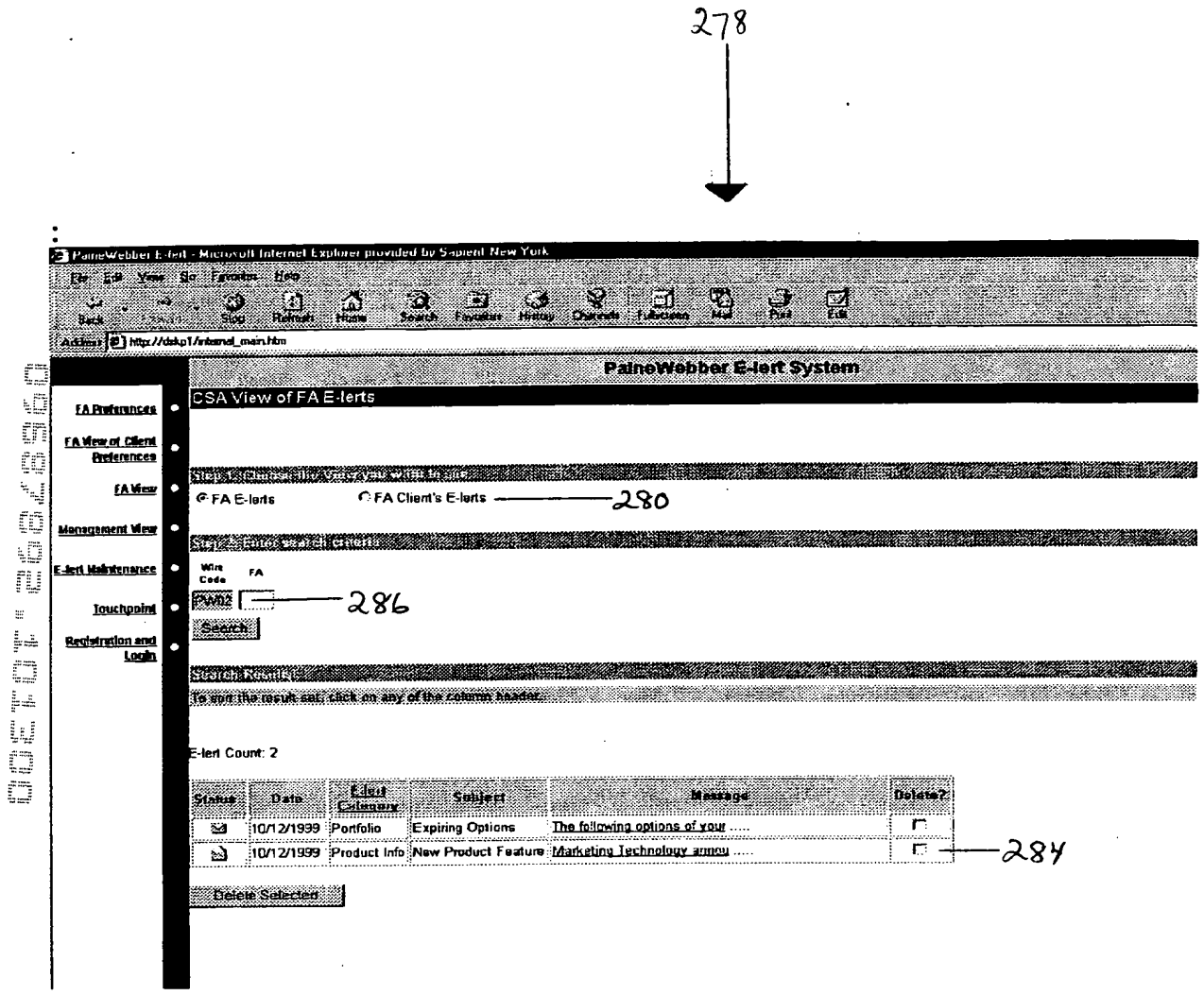

278
PaineWebber E-lert - Microsoft Internet Explorer provided by Sapient New York
File Edit View Go Favorites Help
Back Forward Stop Refresh Home Search Favorites History Channels Fullscreen Mail Print Edit
Address http://dskp1/internal_main.htm
PaineWebber E-lert System
CSA View of FA E-lerts
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
FA E-lerts
FA Client's E-lerts
280
Wire Code
FA
PWIS
286
Search
To sort the result set, click on any of the column header.
E-lert Count: 2
Status
Date
E-lert Category
Subject
Message
Delete?
10/12/1999
Portfolio
Expiring Options
The following options of your .....
10/12/1999
Product Info
New Product Feature
Marketing Technology announ .....
284
Delete Selected

FIG. 14

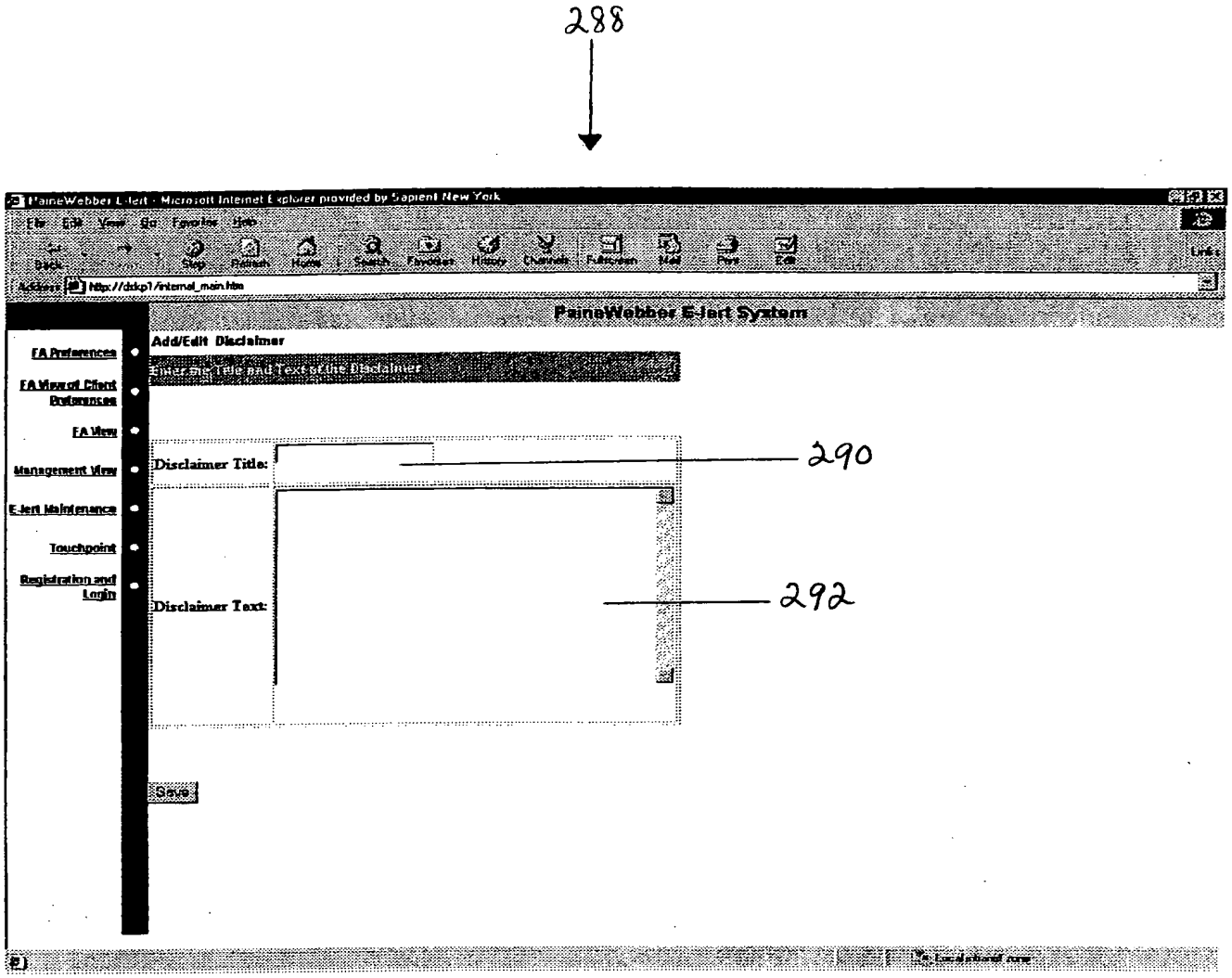

288
PaineWebber E-Jert System
Add/Edit Disclaimer
FA Preferences
FA View of Client Preferences
FA View
Management View
E-Jert Maintenance
Touchpoint
Registration and Login
Disclaimer Title:
290
Disclaimer Text:
292
Save

FIG. 15

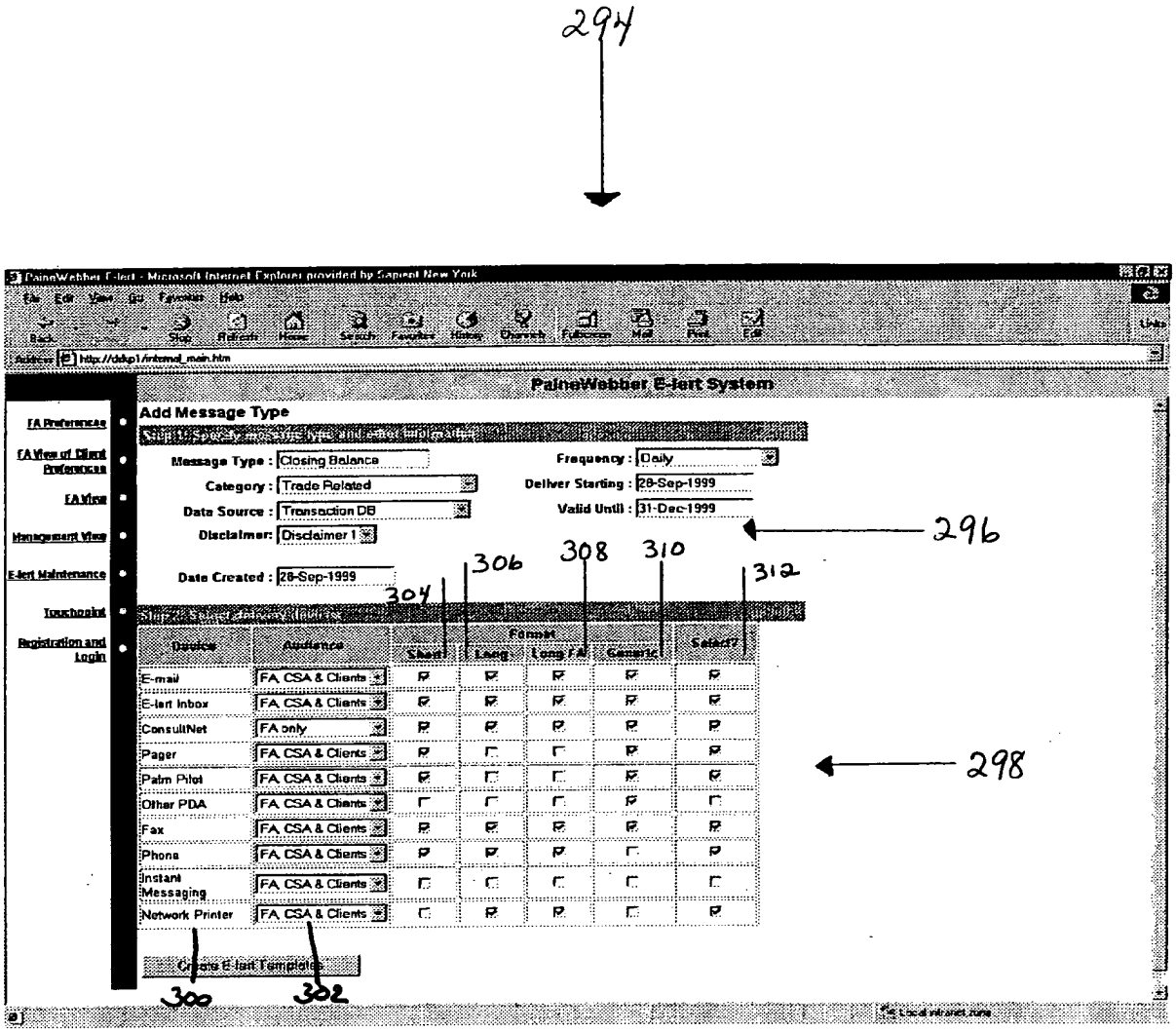

294
PaineWebber E-lert System
Add Message Type
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Message Type : Closing Balance
Category : Trade Related
Data Source : Transaction DB
Disclaimer: Disclaimer 1
Date Created : 28-Sep-1999
Frequency : Daily
Deliver Starting : 28-Sep-1999
Valid Until : 31-Dec-1999
296
304
306
308
310
312
Device
Audience
Format
Short
Long
Long Full
Generic
Select?
E-mail
E-lert Inbox
ConsultNet
Pager
Palm Pilot
Other PDA
Fax
Phone
Instant Messaging
Network Printer
FA, CSA & Clients
FA only
298
Create E-lert Template
300
302

FIG. 16

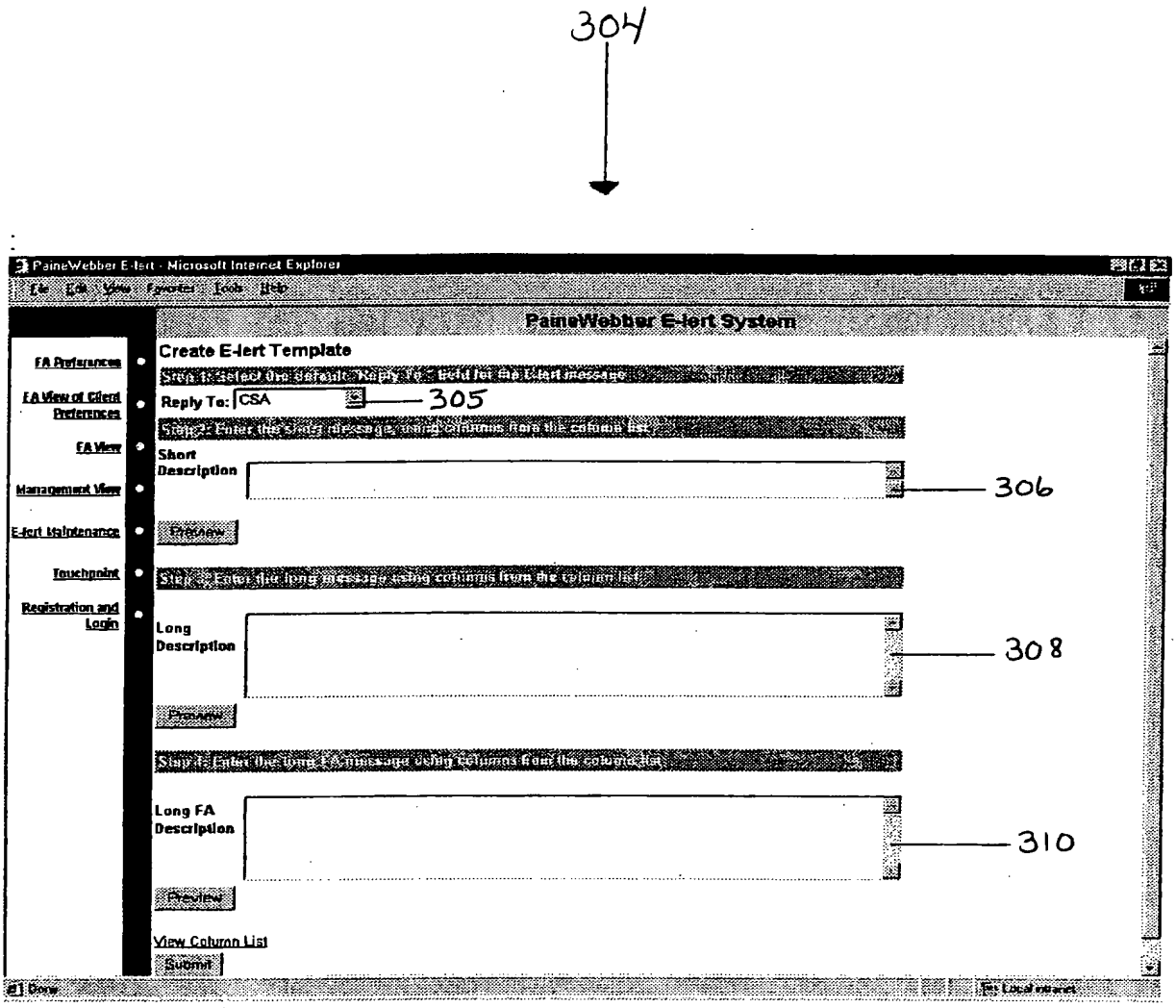

304
PaineWebber E-lert - Microsoft Internet Explorer
PaineWebber E-lert System
Create E-lert Template
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Reply To:
CSA
305
Short Description
306
Preview
Long Description
308
Preview
Long FA Description
310
Preview
View Column List
Submit
Done
Local intranet

FIG. 17

DOCKET: 2682960

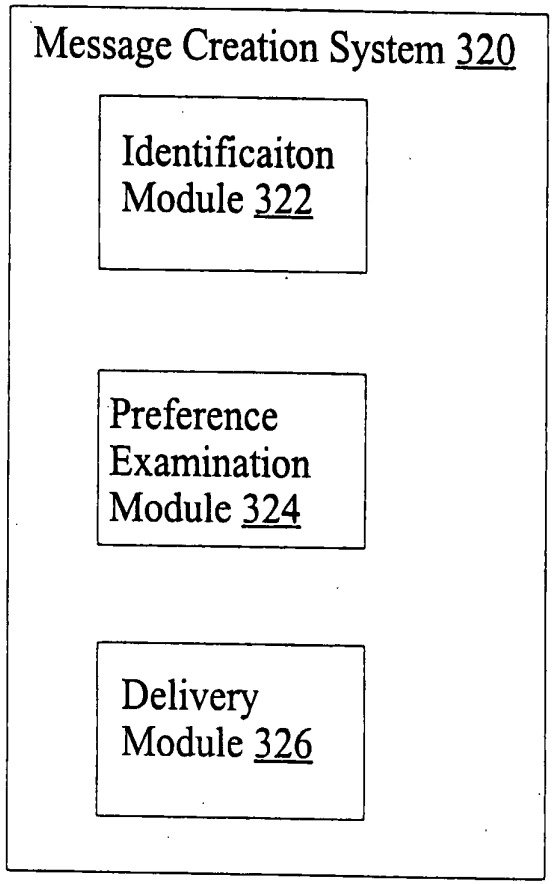


FIG. 18

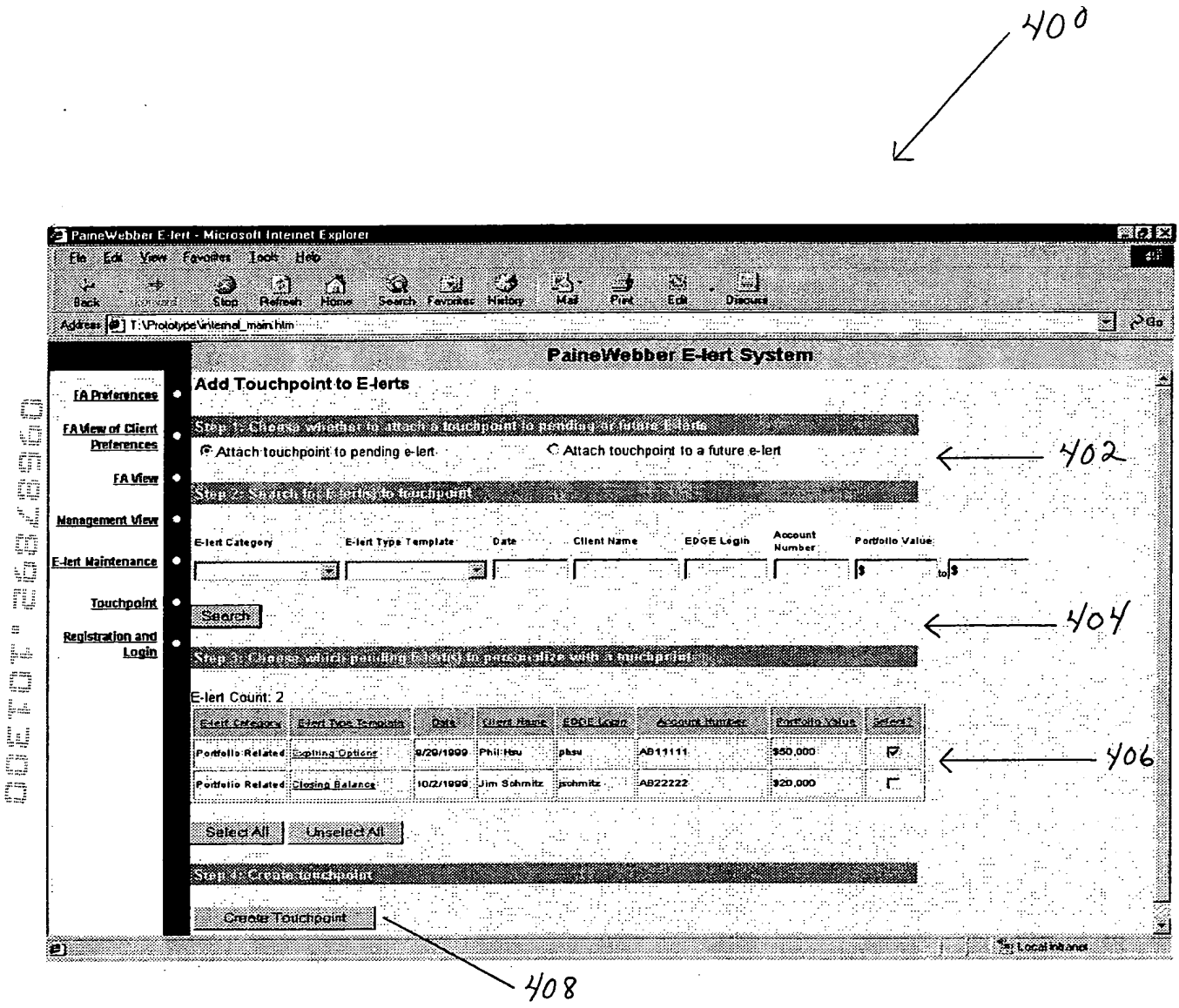

400
PaineWebber E-lert - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Address T:\Prototype\internet_main.htm
PaineWebber E-lert System
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Add Touchpoint to E-lerts
Attach touchpoint to pending e-lert
Attach touchpoint to a future e-lert
402
E-lert Category
E-lert Type Template
Date
Client Name
EDGE Login
Account Number
Portfolio Value
Search
404
E-lert Count: 2
Portfolio Related
Expiring Options
9/29/1999
Phil Hsu
phsu
AB11111
$50,000
Portfolio Related
Closing Balance
10/2/1999
Jim Schmitz
jschmitz
AB22222
$20,000
406
Select All
Unselect All
Create Touchpoint
408

FIG. 19

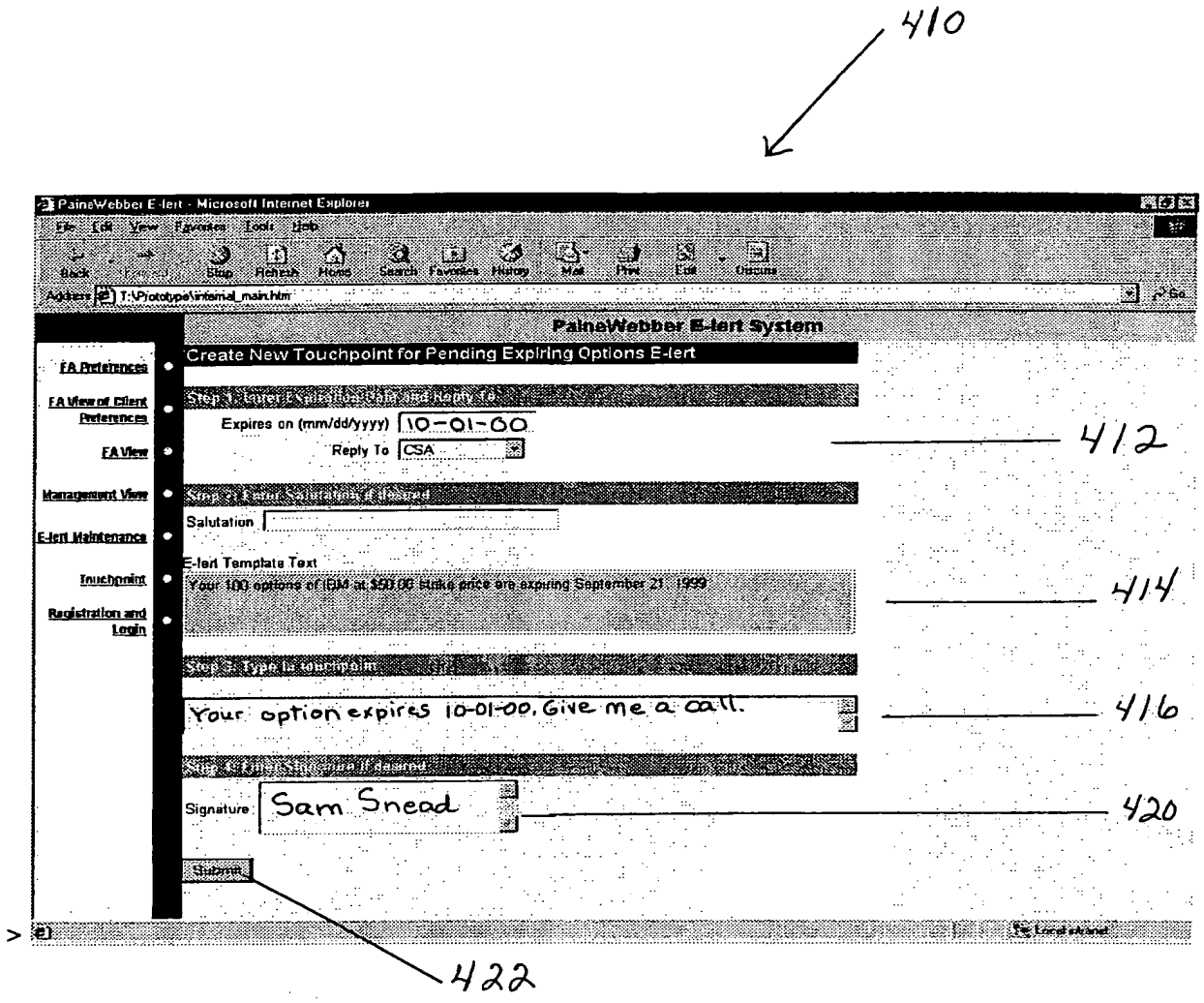

410
PaineWebber E-lert - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss
Address T:\Prototype\internal_main.htm
PaineWebber E-lert System
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Create New Touchpoint for Pending Expiring Options E-lert
Expires on (mm/dd/yyyy) 10-01-00
Reply To CSA
412
Salutation
E-lert Template Text
Your 100 options of IDM at $50.00 strike price are expiring September 21, 1999.
414
Your option expires 10-01-00. Give me a call.
416
Signature Sam Snead
420
Submit
422

FIG. 20

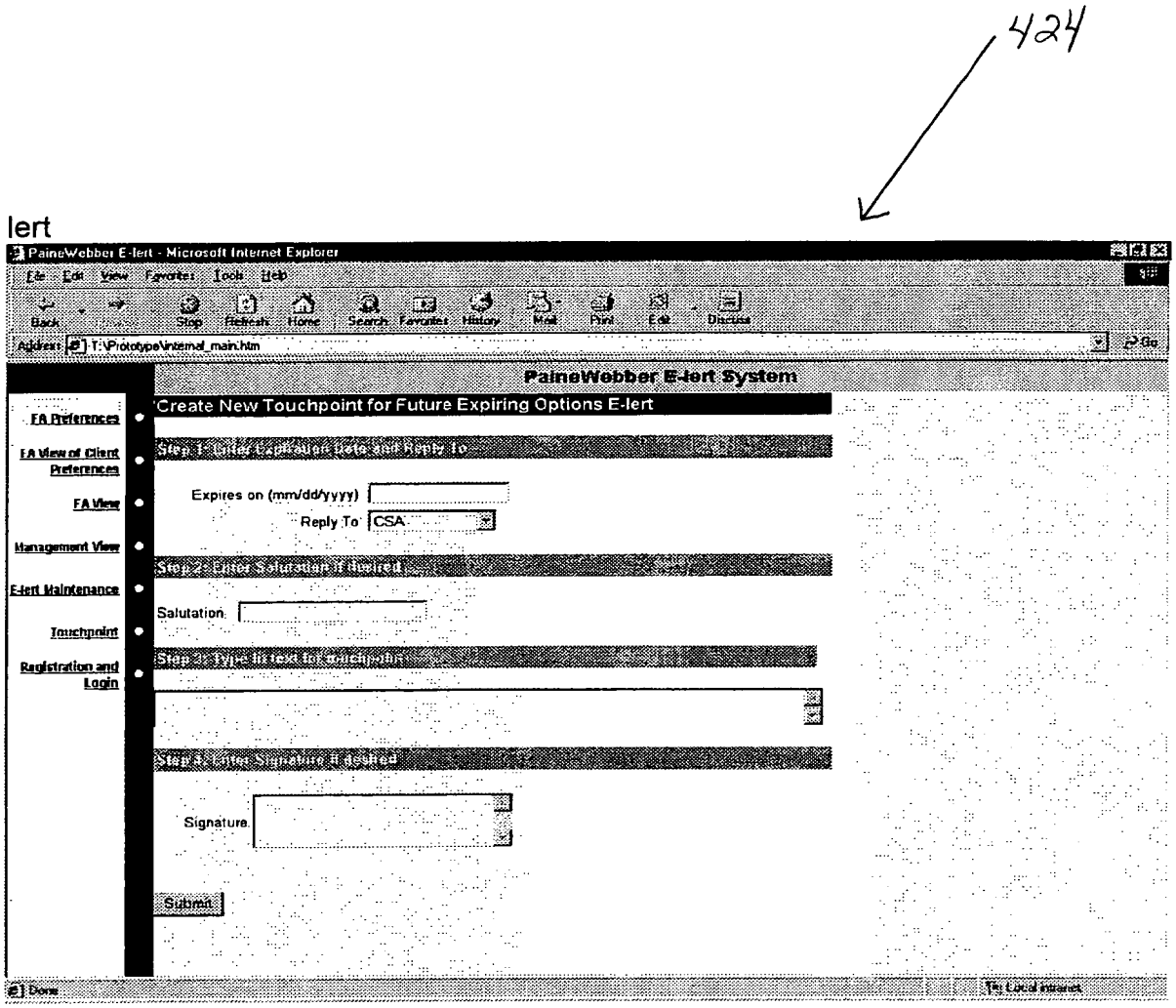

424
lert
PaineWebber E-lert - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Stop Refresh Home Search Favorites History Mail Print Edit Discuss
Address T:\Prototype\internal_main.htm
Go
PaineWebber E-lert System
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Create New Touchpoint for Future Expiring Options E-lert
Expires on (mm/dd/yyyy)
Reply To CSA
Salutation
Signature
Submit
Done
Local intranet

FIG. 21

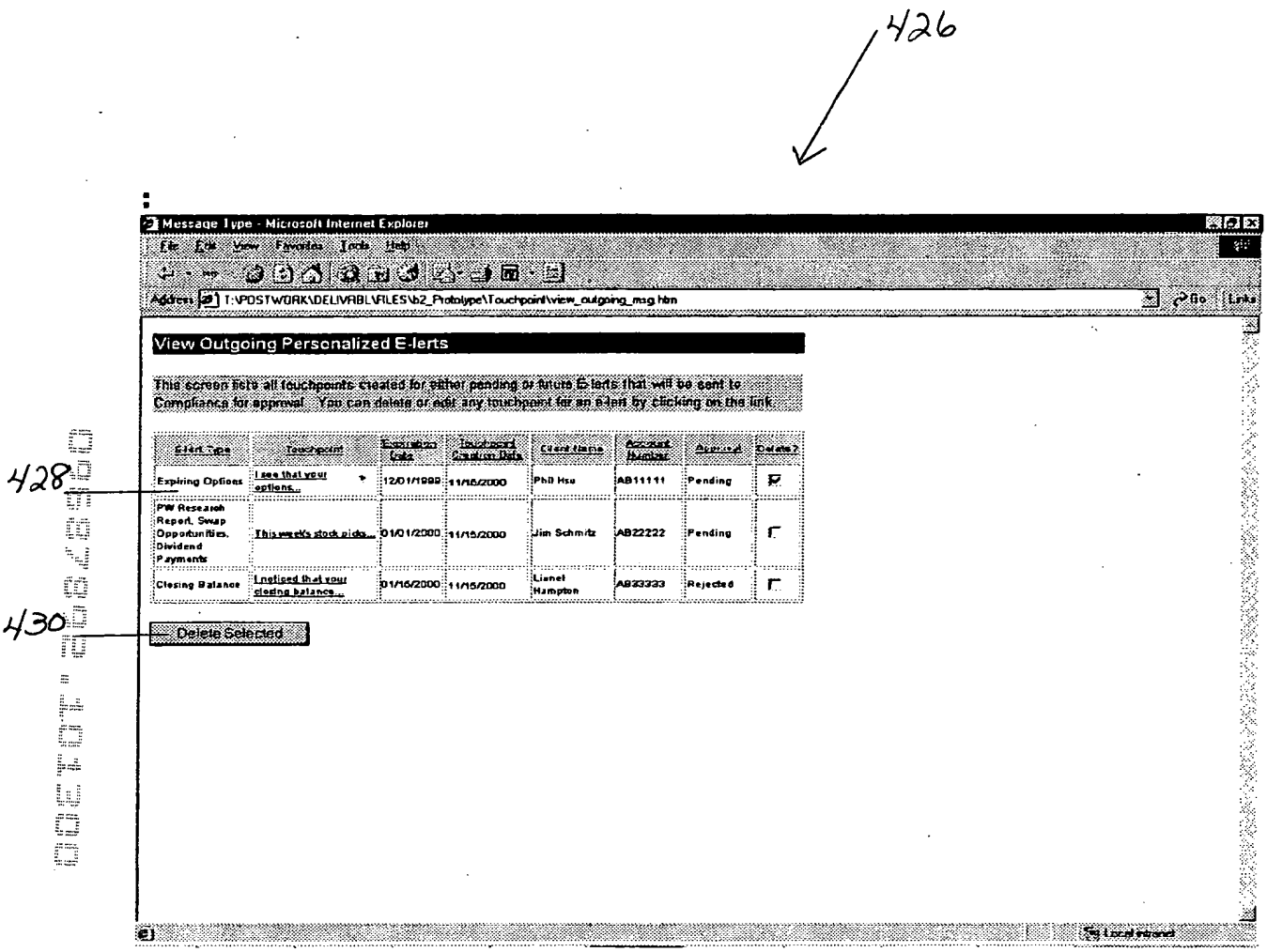

426
Message Type - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Address T:\POSTWORK\DELIVABL\FILES\b2_Prototype\Touchpoint\view_outgoing_msg.htm
Go Links
View Outgoing Personalized E-lerts
This screen lists all touchpoints created for either pending or future E-lerts that will be sent to Compliance for approval. You can delete or edit any touchpoint for an E-lert by clicking on the link.
E-lert Type
Touchpoint
Expiration Date
Touchpoint Creation Date
Client Name
Account Number
Approval
Delete?
Expiring Options
I see that your options...
12/01/1999
11/15/2000
Phil Hsu
AB11111
Pending
PW Research Report, Swap Opportunities, Dividend Payments
This week's stock picks...
01/01/2000
11/15/2000
Jim Schmitz
AB22222
Pending
Closing Balance
I noticed that your closing balance...
01/15/2000
11/15/2000
Lionel Hampton
AB33333
Rejected
Delete Selected
428
430

FIG. 22

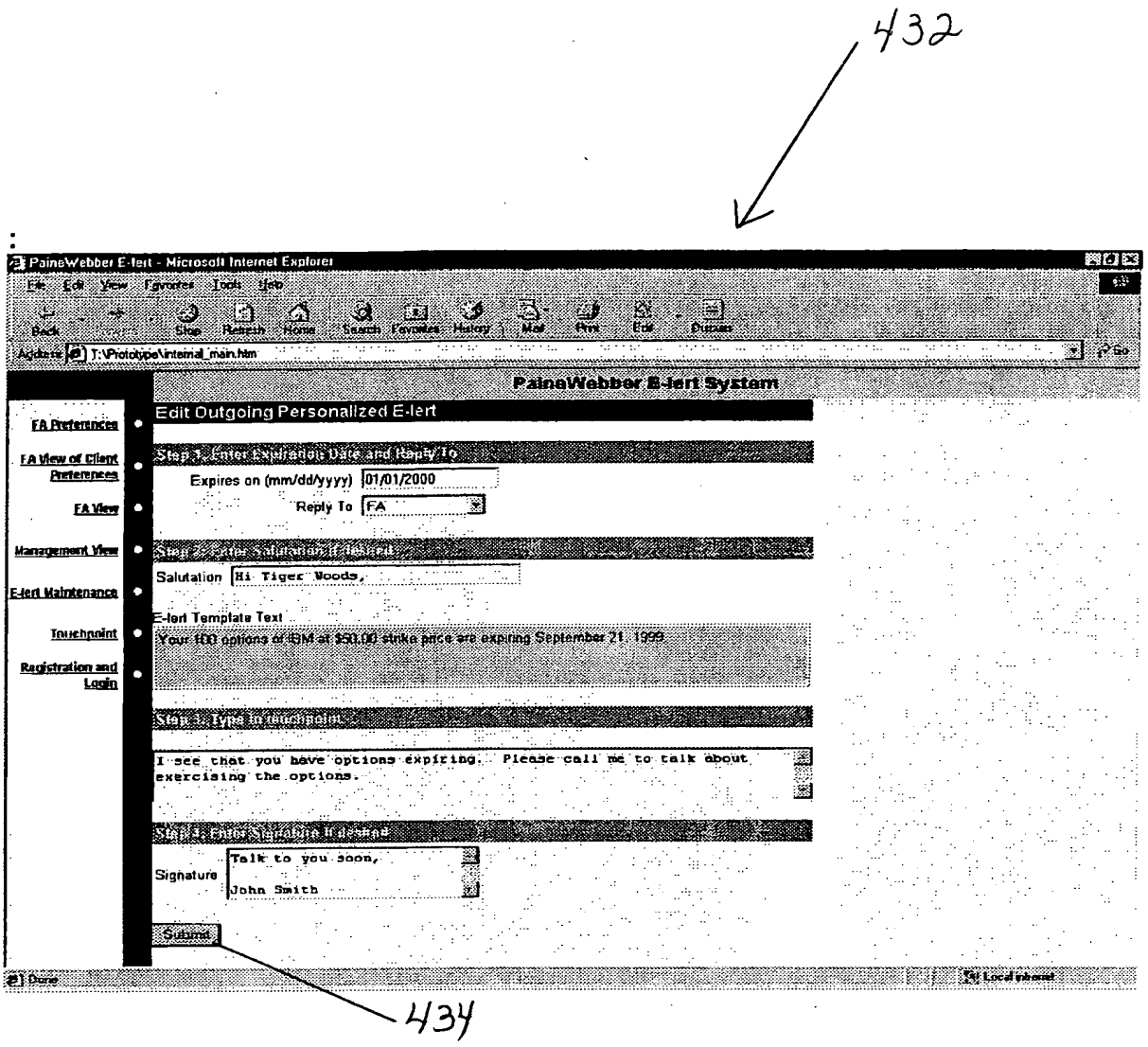

432
PaineWebber E-lert - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Stop Refresh Home Search Favorites History Mail Print Edit Discuss
Address T:\Prototype\internal_main.htm
PaineWebber E-lert System
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Edit Outgoing Personalized E-lert
Step 3: Enter Expiration Date and Reply To
Expires on (mm/dd/yyyy) 01/01/2000
Reply To FA
Salutation Hi Tiger Woods,
E-lert Template Text
Your 100 options of IBM at $50.00 strike price are expiring September 21, 1999
I see that you have options expiring. Please call me to talk about exercising the options.
Signature Talk to you soon,
John Smith
Submit
Done
Local intranet
434

FIG. 23

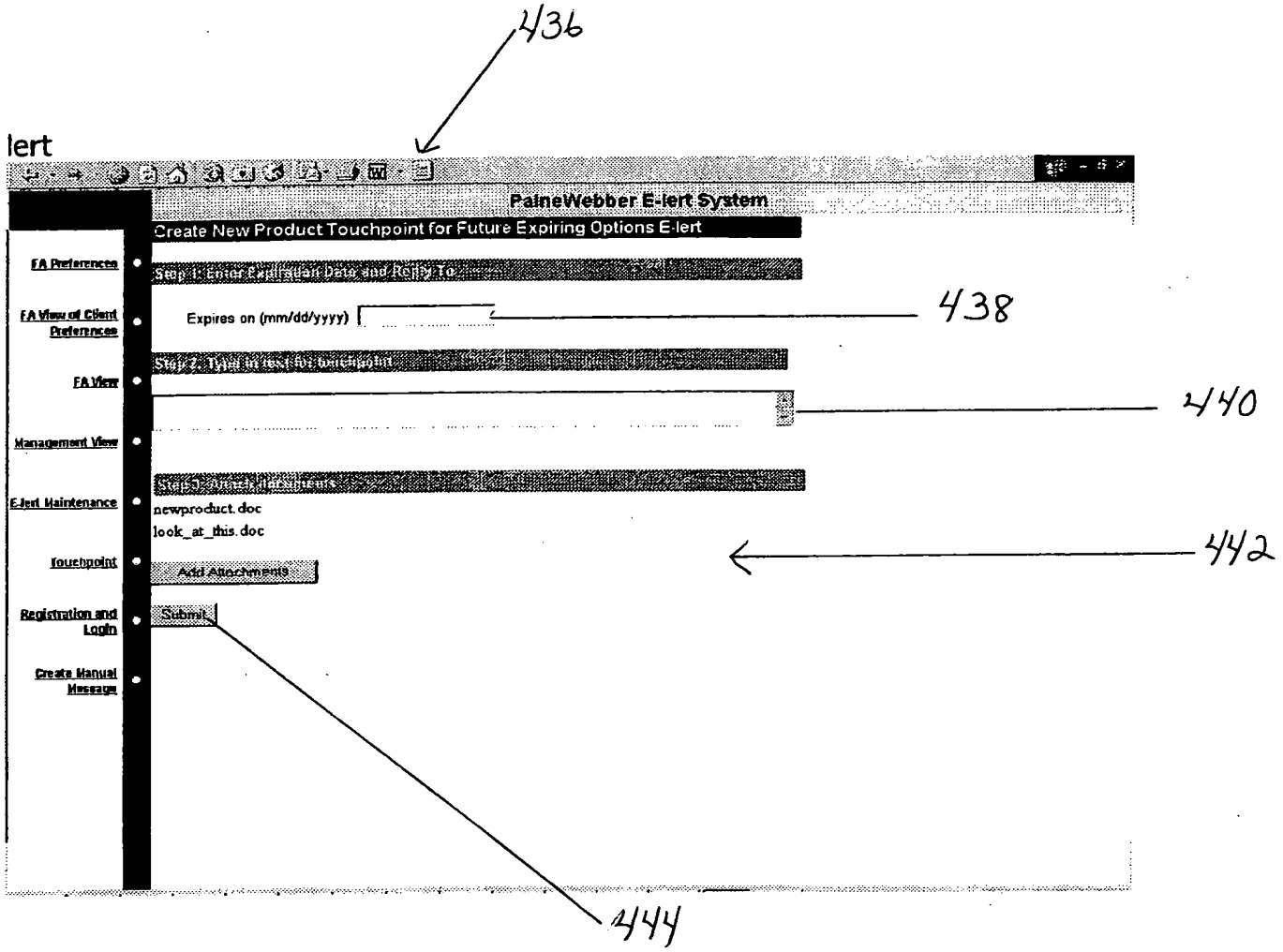

436
lert
PaineWebber E-lert System
Create New Product Touchpoint for Future Expiring Options E-lert
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Create Manual Message
Expires on (mm/dd/yyyy)
438
440
newproduct.doc
look_at_this.doc
442
Submit
444

FIG. 24

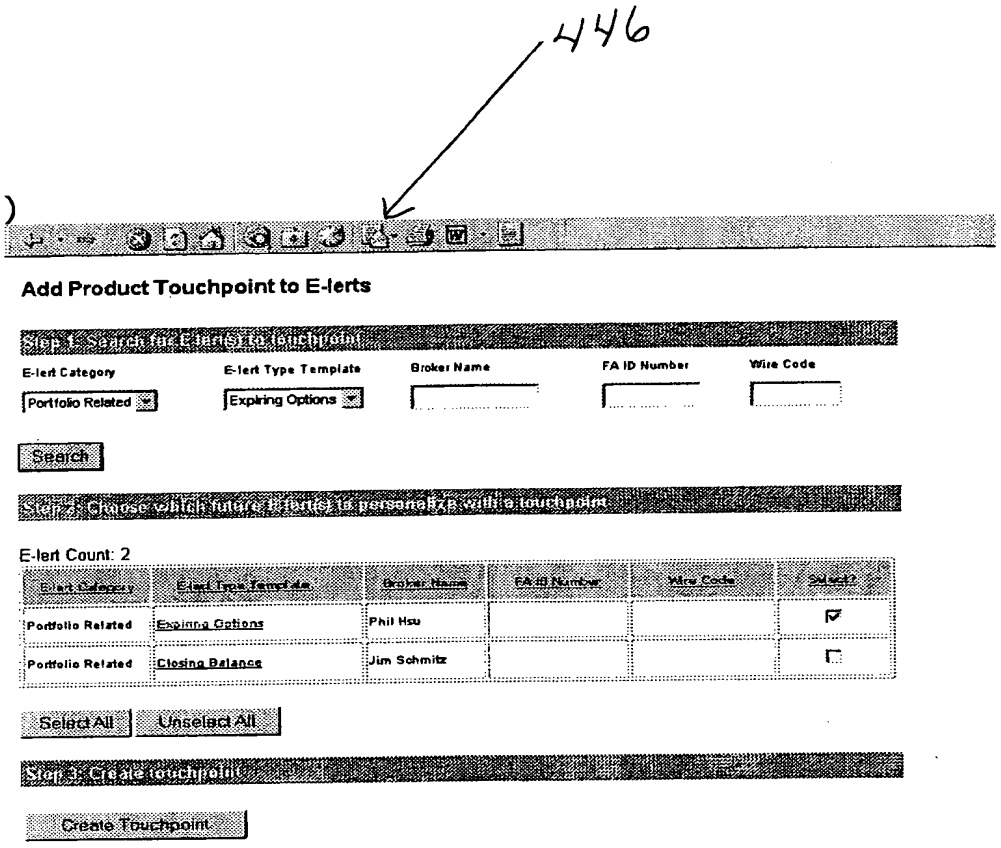

446
Add Product Touchpoint to E-lerts
E-lert Category
E-lert Type Template
Broker Name
FA ID Number
Wire Code
Portfolio Related
Expiring Options
Search
E-lert Count: 2
Portfolio Related
Expiring Options
Phil Hsu
Portfolio Related
Closing Balance
Jim Schmitz
Select All
Unselect All
Create Touchpoint

FIG. 25

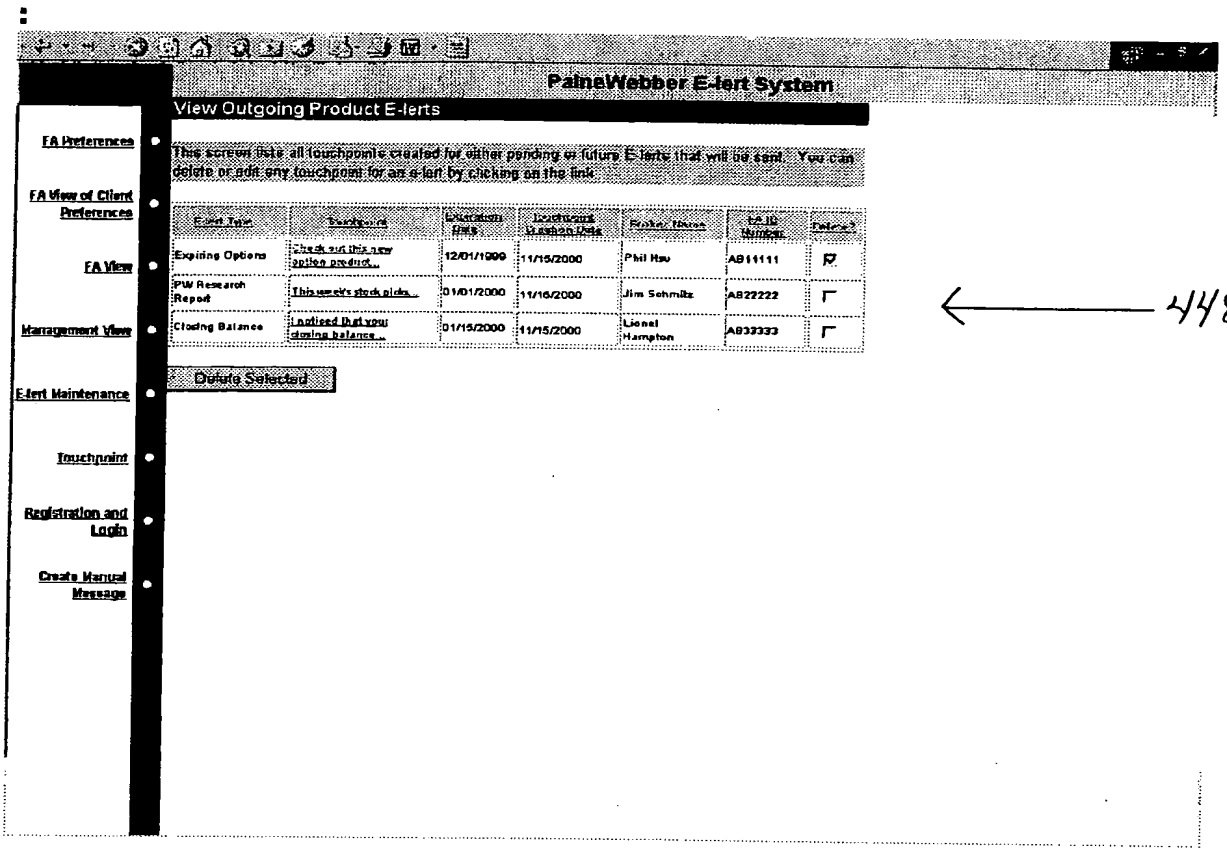

PaineWebber E-lert System
View Outgoing Product E-lerts
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Create Manual Message
This screen lists all touchpoints created for either pending or future E-lerts that will be sent. You can delete or edit any touchpoint for an e-lert by clicking on the link.
E-lert Type
Touchpoint
Expiration Date
Touchpoint Creation Date
Broker Name
FA ID Number
Delete?
Expiring Options
Check out this new option product...
12/01/1999
11/15/2000
Phil Hsu
AB11111
PW Research Report
This week's stock picks...
01/01/2000
11/16/2000
Jim Schmitz
AB22222
Closing Balance
I noticed that your closing balance...
01/15/2000
11/15/2000
Lionel Hampton
AB33333
Delete Selected
448

FIG. 26

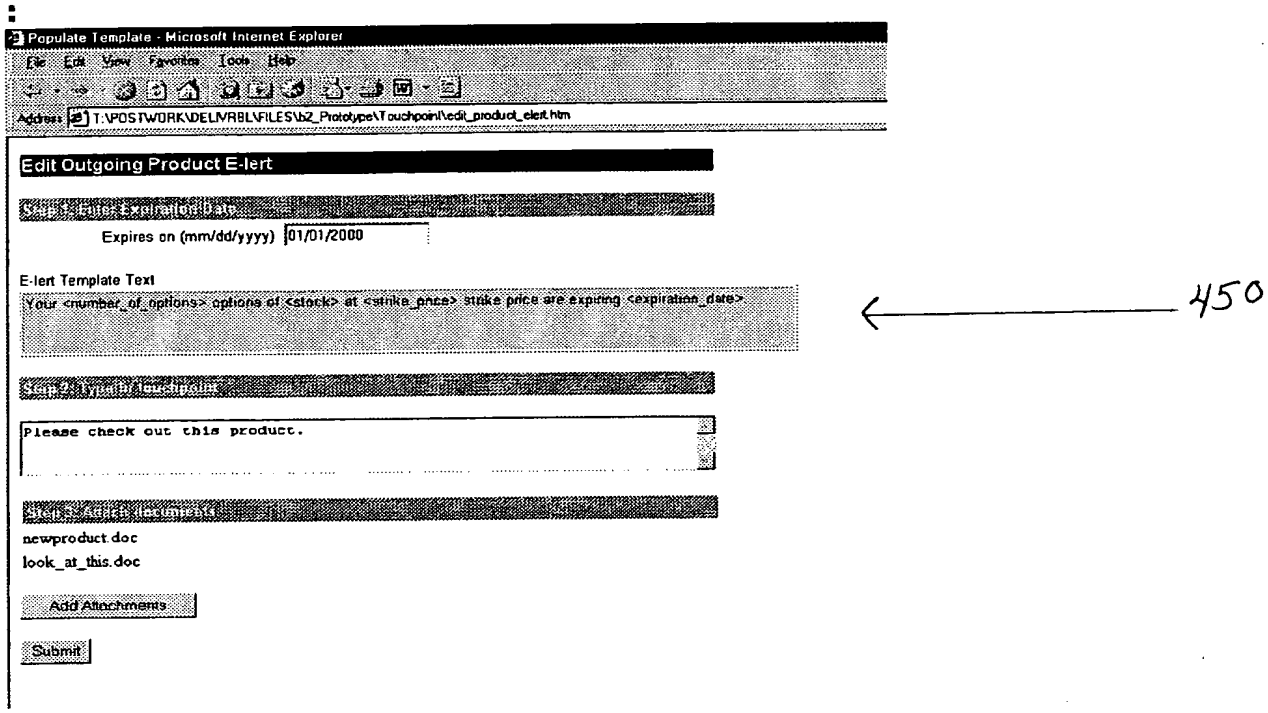

Populate Template - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Address T:\POSTWORK\DELIVRBL\FILES\bl2_Prototype\Touchpoint\edit_product_elert.htm
Edit Outgoing Product E-lert
Step 1: Enter Expiration Date
Expires on (mm/dd/yyyy) 01/01/2000
E-lert Template Text
Your <number_of_options> options of <stock> at <strike_price> strike price are expiring <expiration_date>
Please check out this product.
newproduct.doc
look_at_this.doc
Add Attachments
Submit
450

FIG. 27

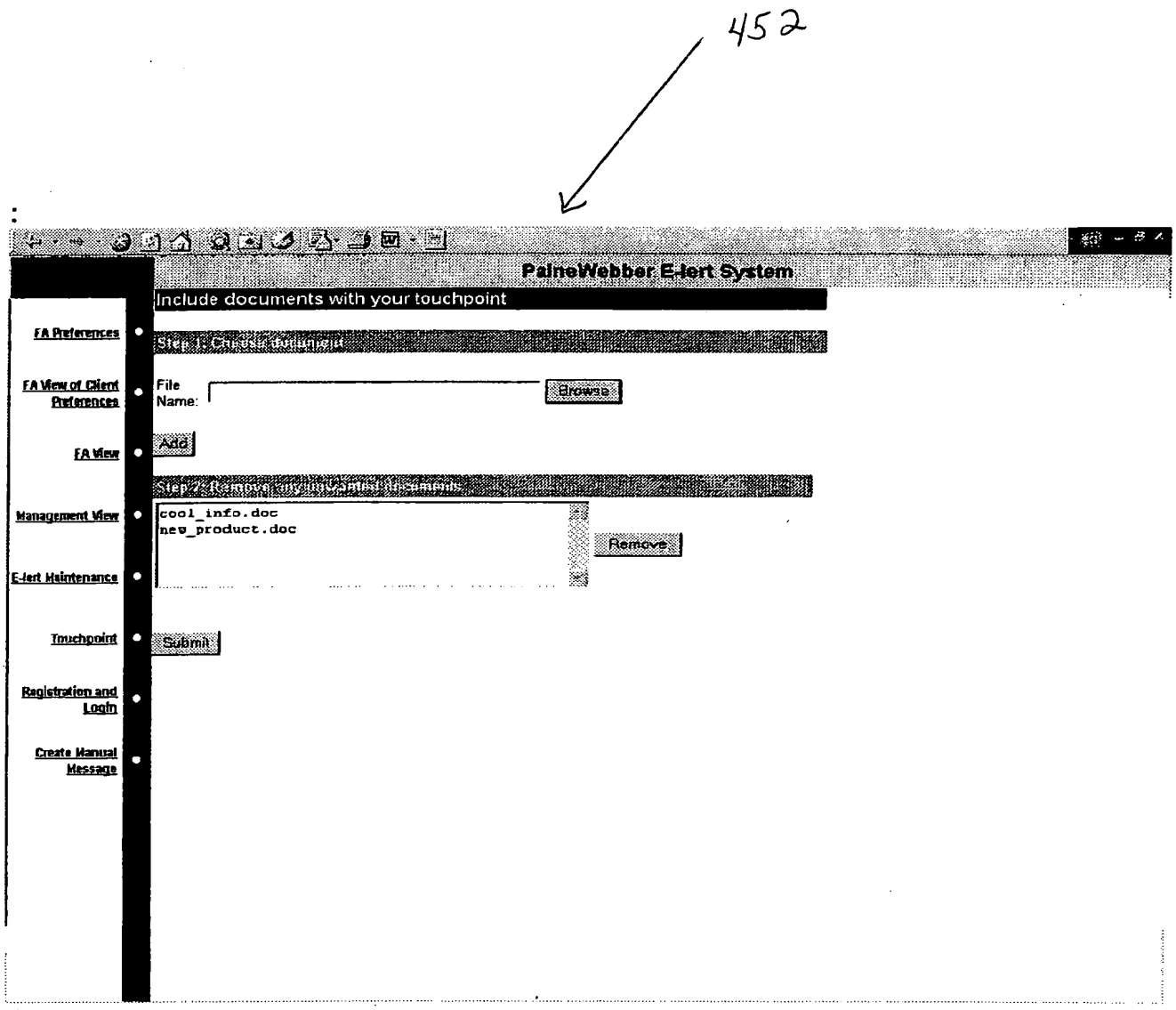

452
PaineWebber E-lert System
Include documents with your touchpoint
FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login
Create Manual Message
File Name:
Browse
Add
cool_info.doc
new_product.doc
Remove
Submit

FIG. 28

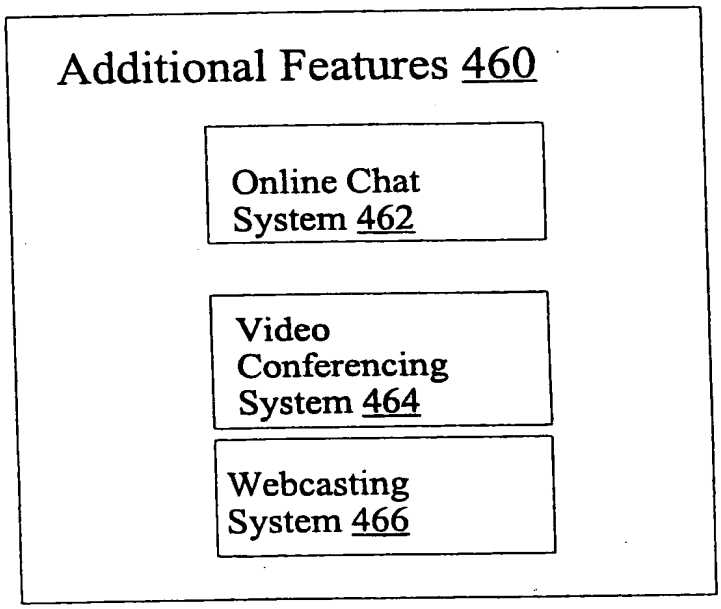

Additional Features 460
Online Chat System 462
Video Conferencing System 464
Webcasting System 466

FIG. 29

84

E-LERT TYPE: FOR ALL E-LERTS EXCLUDING TRADE ACTIVITY

82

FROM: **ELECTRONIC MESSAGING SYSTEM**
SUBJECT: **MESSAGE ABOUT YOUR PORTFOLIO**

THE FOLLOWING E-LERT(S) ARE NOW AVAILABLE IN YOUR INBOX: 85

RESEARCH REEVALUATION 86
BONDS MATURING
RESEARCH REPORT - INVESTMENT POLICY: HIGHLIGHTED STOCKS: SEPTEMBER UPDATES

TO ACCESS YOUR MESSAGE(S), CLICK ON THE LINK BELOW TO LOG ON. THEN CLICK THE E-LERT TAB.

HTTP://WWW.XYZ.ABZ 88

NOTE: THIS MESSAGE WILL BE AVAILABLE FOR YOUR REVIEW UNTIL MM/DD/YY (CURRENT DAY + X)

90

FIG. 31

72

E-LERT TYPE: TRADE ACTIVITY ——— 73

FROM: **ELECTRONIC MESSAGING SYSTEM**
SUBJECT: **MESSAGE ABOUT YOUR PORTFOLIO**

THE FOLLOWING E-LERT(S) ARE NOW AVAILABLE IN YOUR INBOX: ——— 74

ORDER STATUS - OPEN ——— 76

TO ACCESS YOUR MESSAGE(S), CLICK ON THE LINK BELOW TO LOG ON. THEN CLICK THE E-LERT TAB.

HTTP://WWW.XYZ.ABZ ——— 78

NOTE: THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.

80

FIG. 30

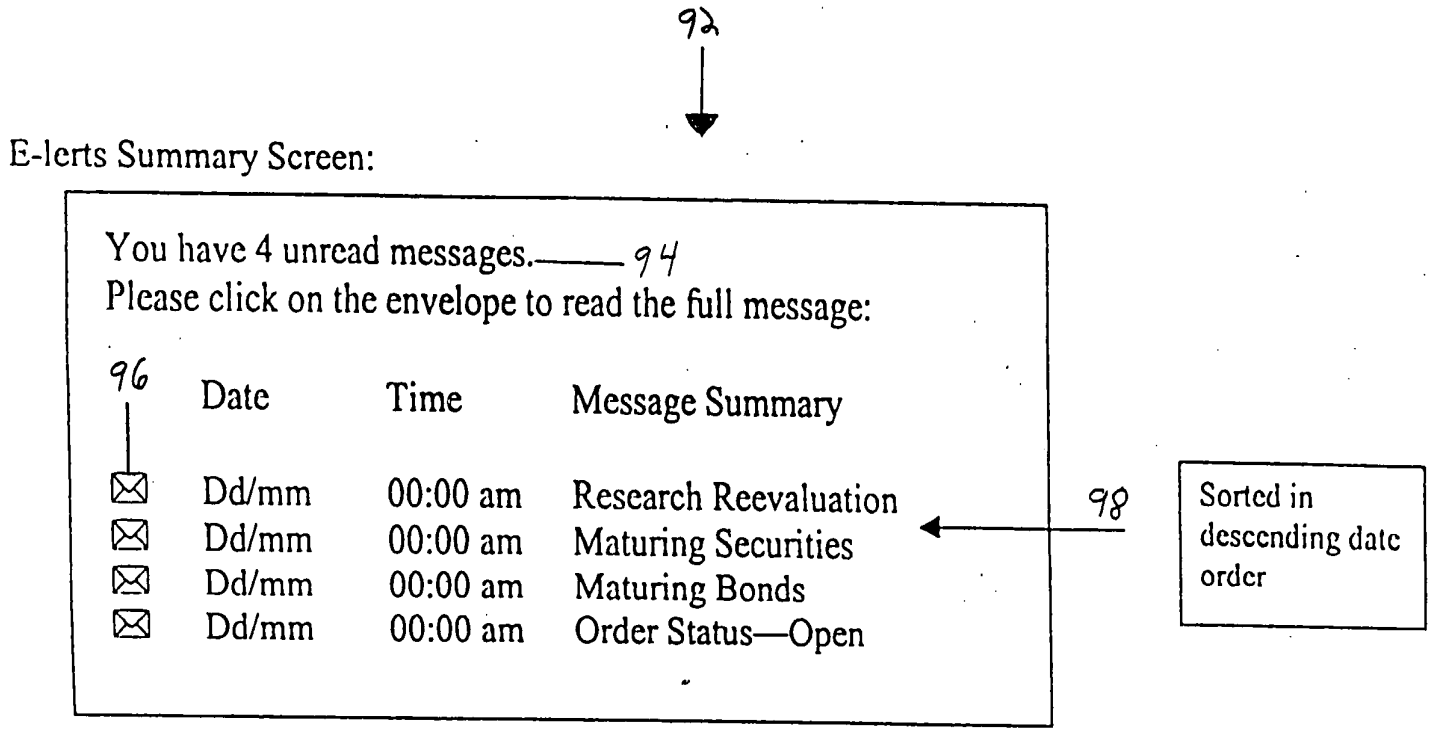
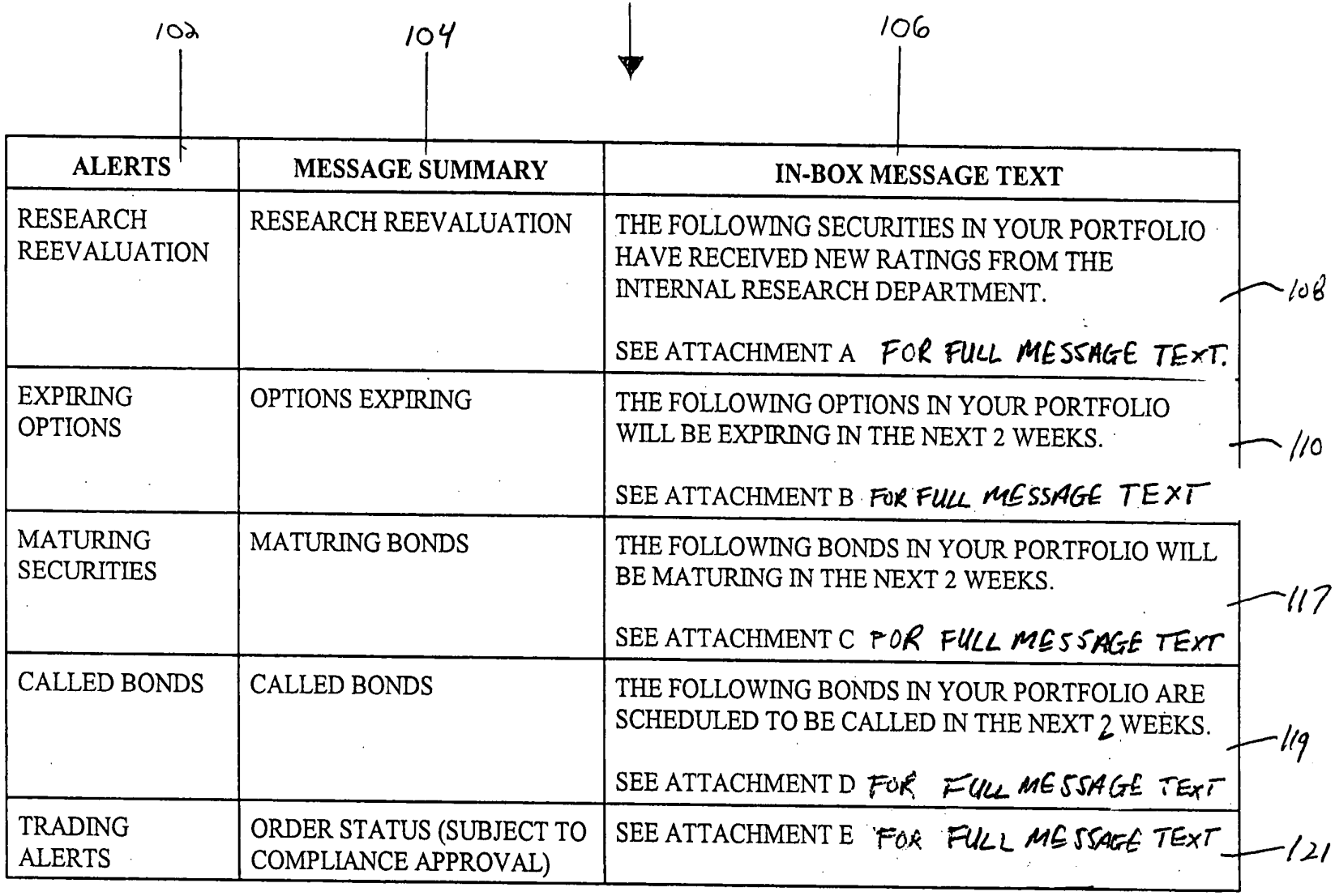

92
E-lerts Summary Screen:
You have 4 unread messages. 94
Please click on the envelope to read the full message:
96
Date
Time
Message Summary
Dd/mm 00:00 am Research Reevaluation
Dd/mm 00:00 am Maturing Securities
Dd/mm 00:00 am Maturing Bonds
Dd/mm 00:00 am Order Status—Open
98
Sorted in descending date order

FIG. 32

002007 2682960



ALERTS	MESSAGE SUMMARY	IN-BOX MESSAGE TEXT
RESEARCH REEVALUATION	RESEARCH REEVALUATION	THE FOLLOWING SECURITIES IN YOUR PORTFOLIO HAVE RECEIVED NEW RATINGS FROM THE INTERNAL RESEARCH DEPARTMENT. SEE ATTACHMENT A FOR FULL MESSAGE TEXT.
EXPIRING OPTIONS	OPTIONS EXPIRING	THE FOLLOWING OPTIONS IN YOUR PORTFOLIO WILL BE EXPIRING IN THE NEXT 2 WEEKS. SEE ATTACHMENT B FOR FULL MESSAGE TEXT
MATURING SECURITIES	MATURING BONDS	THE FOLLOWING BONDS IN YOUR PORTFOLIO WILL BE MATURING IN THE NEXT 2 WEEKS. SEE ATTACHMENT C FOR FULL MESSAGE TEXT
CALLED BONDS	CALLED BONDS	THE FOLLOWING BONDS IN YOUR PORTFOLIO ARE SCHEDULED TO BE CALLED IN THE NEXT 2 WEEKS. SEE ATTACHMENT D FOR FULL MESSAGE TEXT
TRADING ALERTS	ORDER STATUS (SUBJECT TO COMPLIANCE APPROVAL)	SEE ATTACHMENT E FOR FULL MESSAGE TEXT

FIG. 33

113

112

TYPE: RESEARCH REEVALUATION

RESEARCH REEVALUATION - THE FOLLOWING SECURITY(S) IN YOUR PORTFOLIO HAVE RECEIVED NEW RATINGS FROM THE INTERNAL RESEARCH DEPARTMENT:

A/C#	ACTION	SYMBOL	SECURITY DESCR.	QTY.	CLOSING PRICE	CLOSING MKT. VALUE	NEW RATING	OLD RATING	DATE
XXX	DOWN	DOW	DOW CHEM.	1.196L	114 3/4	$137,241	NEUTRAL	ATTRACT	1/1/00

PLEASE CONTACT YOUR FINANCIAL ADVISOR IF YOU HAVE ANY QUESTIONS OR WOULD LIKE TO DISCUSS THIS MATERIAL

THE INFORMATION ABOVE IS BELIEVED TO BE RELIABLE, BUT ITS ACCURACY CANNOT BE GUARANTEED. THIS COMPANY, ITS AFFILIATED COMPANIES, AND/OR THEIR OFFICERS, DIRECTORS, EMPLOYEES OR STOCKHOLDERS MAY AT TIMES HAVE A POSITION, INCLUDING AN ARBITRAGE POSITION, IN THE SECURITIES DESCRIBED HEREIN AND MAY SELL OR BUY THEM TO OR FROM THEIR CUSTOMERS. THESE COMPANIES MAY FROM TIME TO TIME ACT AS A CONSULTANT TO A COMPANY BEING REPORTED UPON.

115

FIG. 34

TYPE: EXPIRING OPTIONS

EXPIRING OPTIONS - THE FOLLOWING OPTIONS IN YOUR PORTFOLIO WILL BE EXPIRING IN THE NEXT TWO WEEKS:

A/C#	SYMBOL	QTY.	SECURITY DESCR.	EXPIR. DATE	STRIKE PRICE	CLOSING PRICE OPTION	CLOSING PRICE STOCK	CLOSING MKT. VALUE
XXX	CIK	-16S /4	CALL CITI	1/1/00	55	6 1/4	44	-100

FIG. 35

TYPE: CALLED BONDS

CALLED BONDS - THE FOLLOWING BONDS IN YOUR PORTFOLIO ARE SCHEDULED TO BE CALLED IN THE NEXT TWO WEEKS:

A/C#	SECUR.	QTY.	SECURITY DESCR.	S&P RATE	INT. RATE	MATURING DATE	CALL DATE	CALL PRICE.	QTY CALLED	CALLED BOND VAL.
XXX	B44YY6	10L	NJ HEALTH	AAA	6.750	1/1/01	1/1/00	1020.00	10L	$10,200

FIG. 36

TYPE: MATURING SECURITIES

MATURING SECURITIES - THE FOLLOWING BONDS IN YOUR PORTFOLIO WILL BE MATURING IN THE NEXT TWO WEEKS:

A/C#	SECUR.	QTY.	SECURITY DESCR.	S&P RATE	INT. RATE	MATURING DATE	MATURING VALUE
XXX	E37KV0	5L	TEMPE	AAA	4.750	1/1/01	$5000

FIG. 37

TYPE: ORDER STATUS

ORDER STATUS - OPEN

AN ORDER TO SELL 500 AOL AT MKT IN ACCOUNT AB 22343 HAS BEEN PLACED. ORDER NUMBER AB 1000

THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.

FIG. 38

124 DESCRIPTION	126 DEFINITION	128 DELIVERY	122 MESSAGE TO CLIENT	
			130 SUMMARY	132 MESSAGE
OPEN	A BUY OR SELL THAT HAS NOT BEEN EXECUTED.	IMMEDIATE	ORDER STATUS - OPEN	AN ORDER TO SELL 500 AOL AT MKT DAY IN ACCOUNT AB 22343 HAS BEEN PLACED. ORDER NUMBER AB 1000. THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.
EXECUTED	EXECUTION MEANS THAT AN ORDER HAS BEEN FILLED (CARRIED OUT).	IMMEDIATE	ORDER STATUS - EXECUTED	YOUR ORDER TO SELL 500 AOL AT MKT IN ACCOUNT AB 22343 HAS BEEN EXECUTED AT AN AVERAGE PRICE OF 98 3/16. THE ESTIMATED TOTAL COST OF THE TRADE IS $49093.75. ORDER NUMBER AB 1000. THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.

FIG. 39

08270T "2682896

DESCRIPTION (124)	DEFINITION (126)	DELIVERY (128)	MESSAGE TO CLIENT (122)	
			SUMMARY (130)	MESSAGE (132)
PARTIALLY EXECUTED	PART OF AN ORDER HAS BEEN FILLED AND THE REMAINING QUANTITY IS STILL IN FORCE (OPEN) AN AWAITING EXECUTION.	IMMEDIATE	ORDER STATUS - PARTIAL EXECUTION	YOUR ORDER TO BUY 100C AT 46 5/8 IN ACCOUNT AB 22343 HAS BEEN PARTIALLY EXECUTED. 400 C EXECUTED AT 46 1/2. THE ESTIMATED COST OF THE TRADE IS $18600.00. ORDER NUMBER AB 1001. THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.
CANCELLED	VOID AN ORDER TO BUY OR SELL.	IMMEDIATE	ORDER STATUS - CANCELED	YOUR ORDER TO BUY 600 C AT 46 5/8 LMT IN ACCOUNT AB 22343 HAS BEEN CANCELLED. ORDER NUMBER AB 1001. THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.

FIG. 40

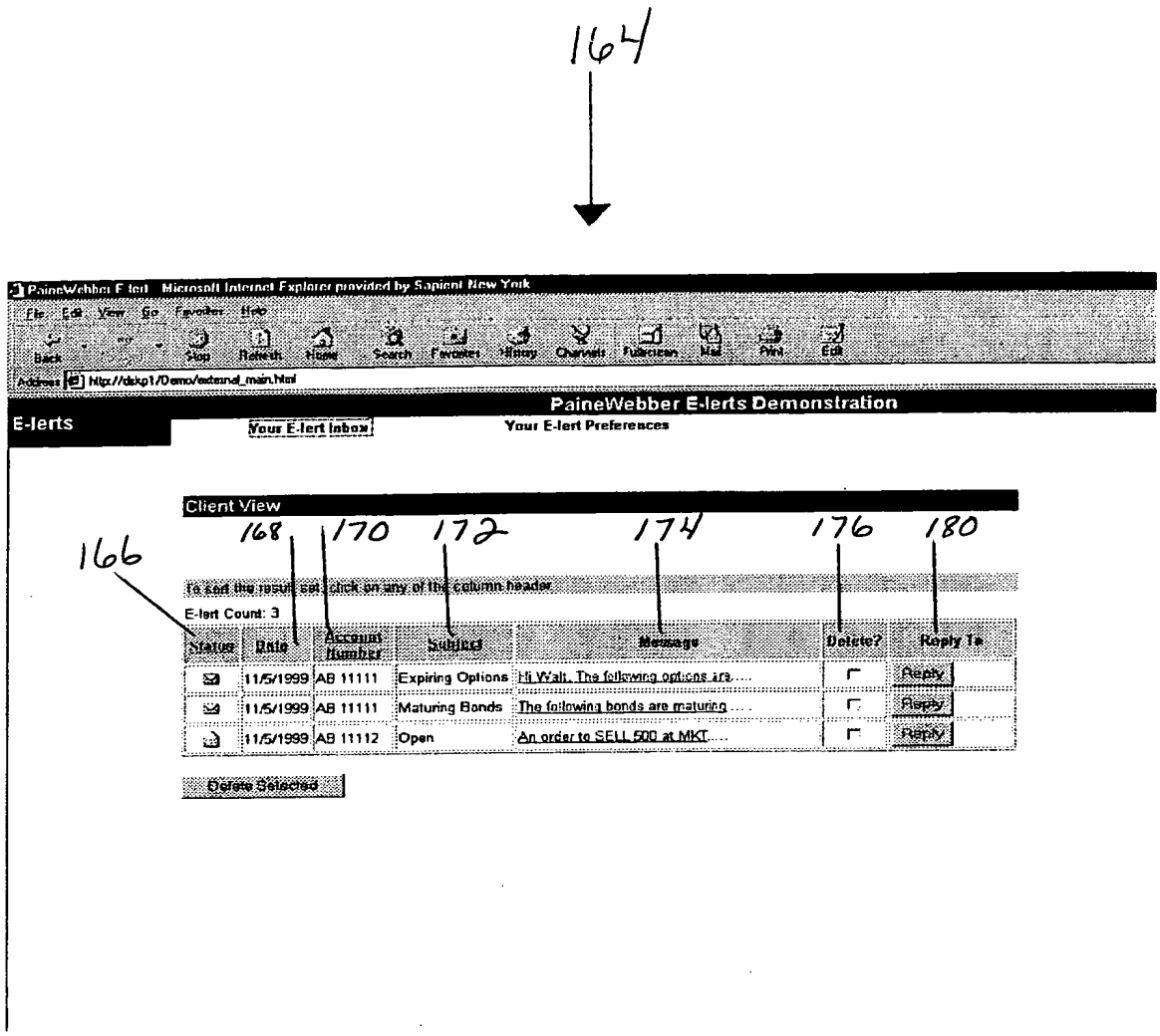

164
PaineWebber E-lert - Microsoft Internet Explorer provided by Sapient New York
File Edit View Go Favorites Help
Back Stop Refresh Home Search Favorites History Channels Fullscreen Mail Print Edit
Address http://dekp1/Demo/edemd_main.html
PaineWebber E-lerts Demonstration
E-lerts
Your E-lert Inbox
Your E-lert Preferences
Client View
166
168
170
172
174
176
180
To sort the result set, click on any of the column header
E-lert Count: 3
Status
Date
Account Number
Subject
Message
Delete?
Reply To
11/5/1999 AB 11111 Expiring Options Hi Walt, The following options are..... Reply
11/5/1999 AB 11111 Maturing Bonds The following bonds are maturing .... Reply
11/5/1999 AB 11112 Open An order to SELL 500 at MKT..... Reply
Delete Selected

FIG. 41

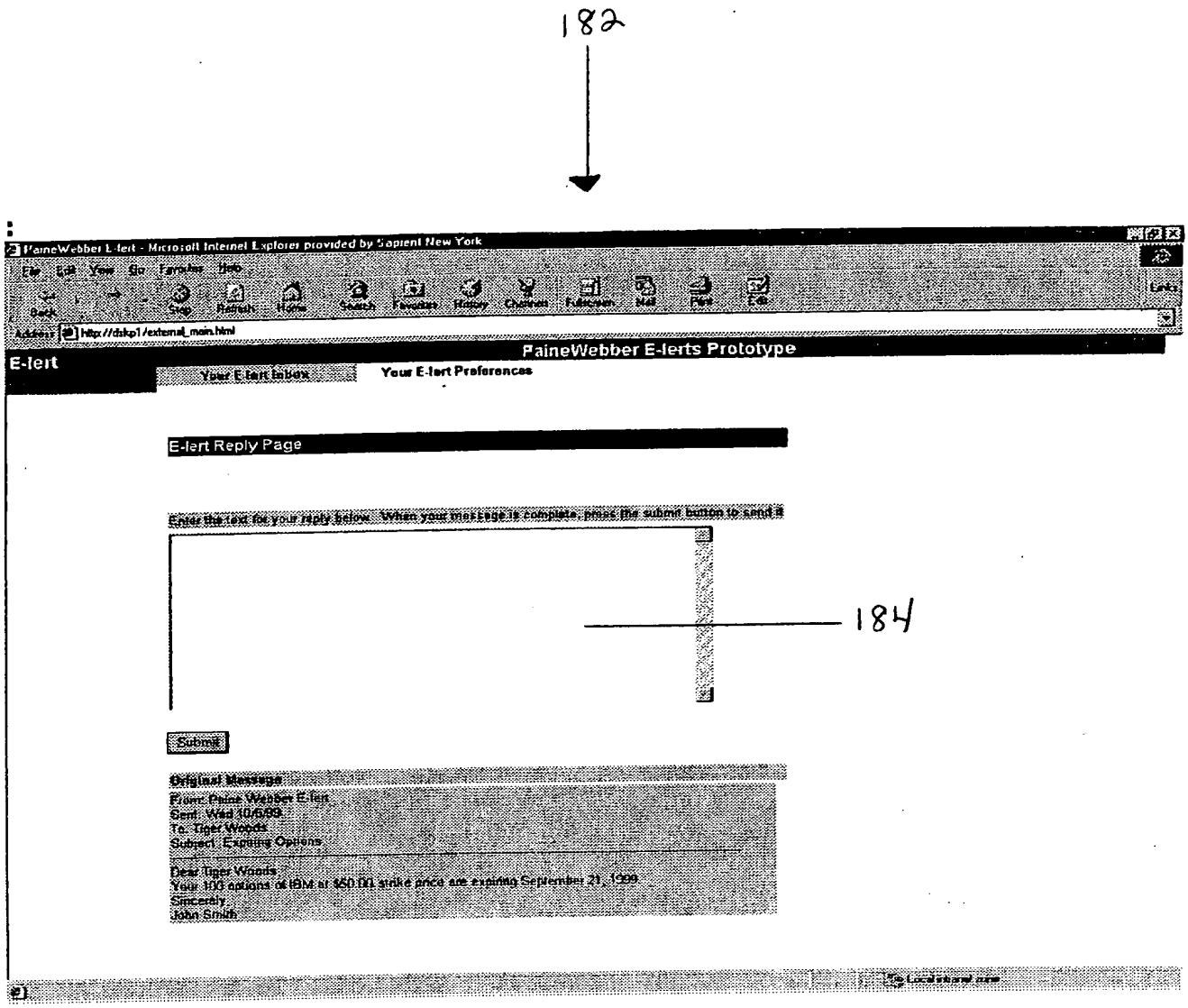

182
PaineWebber E-lert - Microsoft Internet Explorer provided by Sapient New York
File Edit View Go Favorites Help
Address http://dskp1/external_main.html
PaineWebber E-lerts Prototype
E-lert
Your E-lert Inbox
Your E-lert Preferences
E-lert Reply Page
Enter the text for your reply below. When your message is complete, press the submit button to send it
184
Submit
Original Message
From: Paine Webber E-lert
Sent: Wed 10/6/99
To: Tiger Woods
Subject: Expiring Options
Dear Tiger Woods,
Your 100 options at IBM at $50.00 strike price are expiring September 21, 1999.
Sincerely,
John Smith

FIG. 42

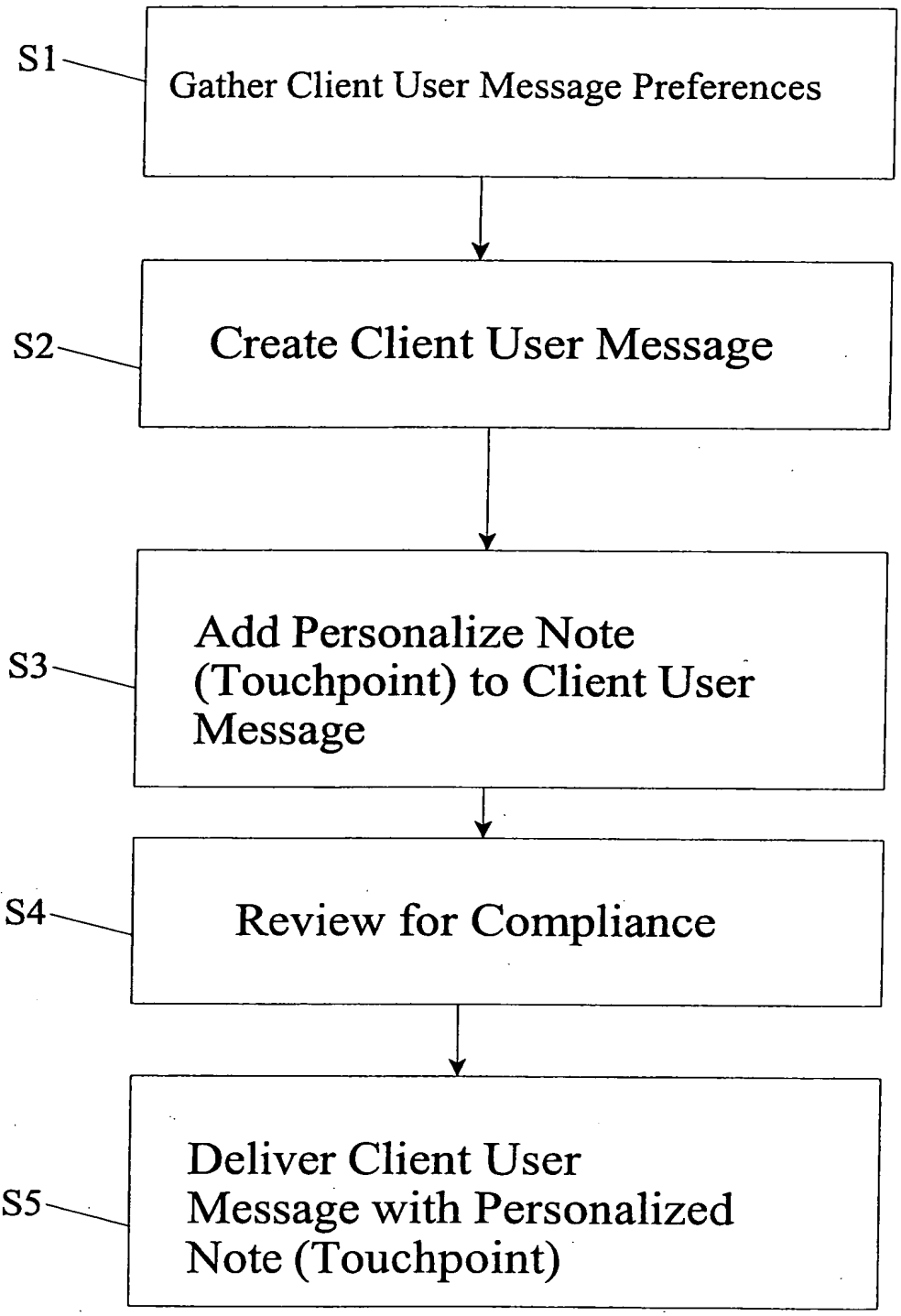

S1
Gather Client User Message Preferences
S2
Create Client User Message
S3
Add Personalize Note (Touchpoint) to Client User Message
S4
Review for Compliance
S5
Deliver Client User Message with Personalized Note (Touchpoint)

FIG. 43